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ABSTRACT

The minutes of this meeting provide the texts of the seven addresses given during the program sessions, as well as the discussions that followed each session: C. Lee Jones, "Bibliographic Service Development Program"; Henriette D. Avram, "The Role of the Library of Congress in National Planning for Bibliographic Control"; James P. Govan, "Implications for Research Libraries"; Gary E. Strong, "The Washington Library Network"; Frederick G. Kilgour, "OCLC, Inc."; Edward E. Shaw, "The Research Libraries Information Network"; and Robin Braithwaite, "The University of Toronto Library Automation System." Also included is the special presentation, by Jaroslav Pelikan, "The Wisdom of Prospero." The business meeting portion of the document contains various reports, e.g., special reports on the National Commission on Libraries and Information Science and the National Endowment for the Humanities, and the appendices include the annual report of the Office of Management Studies; lists of the meeting's attendees, officers, board of directors, committees and task forces of the association, and association members; and the auditor's report. (JD)

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National Planning For Bibliographic Control

Minutes of the Ninety-Fourth Meeting

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Association of Research Libraries
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Washington, D.C. 20036
(202) 232-2466

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ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 94th Meeting

Le Moyne W. Anderson, Presiding

The Ninety-fourth Meeting of the Association of Research Libraries convened at the Hyatt Regency Hotel, Cambridge, Massachusetts, May 10-11, 1979.

President Le Moyne W. Anderson opened the meeting by welcoming and introducing both the new and alternate representatives attending their first ARL meeting and the guests of the Association.

President Anderson then turned the program over to Frank Grisham, who introduced the morning's speakers.

BIBLIOGRAPHIC SERVICE DEVELOPMENT PROGRAM

C. Lee Jones

Council on Library Resources

MR. GRISHAM (Joint University Libraries): I would simply like to acknowledge this morning the importance of our subject. For my purposes, I would like to see ARL move out more aggressively in confronting the issues that we face back in our libraries — particularly in our year-long program, but also in our semi-annual meetings. These sessions can be very important to us in stimulating our thinking, so I think the programs must be carefully planned with substance and relevancy, resulting in some kind of decisive action on our part. I think our meetings should stimulate us to action. So, during this session we are not just going to keep you awake, we hope. We want to make you a little edgy about a challenge we all face. I hope that you will be enticed to follow through and implement whatever is necessary for ARL to address the problems we face in national planning for bibliographic control, a timely, relevant, important subject.

ARL should be initiating and supporting movement toward an ultimate goal, a goal I am not quite sure that we understand yet. We need to explore the what, when, where, and how of our action. Perhaps our thoughts today and tomorrow will lead us to more positive action on the part of ARL.

To lead off, we have C. Lee Jones. Out of the Health Sciences Library of Columbia University, into our midst has come a very capable young man. He is a thinker and a leader. Lee came to the Council on Library Resources last year as a Program Officer, responsible for coordinating all activity related to the development of a computerized bibliographic system.

His technical design for a National Periodicals Center was impressive, and so will be his remarks today. If you have not had an opportunity to get to know this person, I would encourage you to take that opportunity. You will quickly see that he has much to contribute to our ARL world, and we are grateful for the fact that he will lead off our presentation this morning, speaking on the Council on Library Resources' Bibliographic Services Development Program.

Following that, Henriette Avram, whom we all know and whom I feel a little awkward in presenting because she is so well known to us, will bring us her remarks. We know the importance of LC bibliographic developments, and no one can tell us more effectively of that story than Henriette Avram, Director of the Network Development Office at the Library of Congress. She is responsible for insuring that the Library of Congress meets its requirements in regard to a national network. What a task that is, but what a person she is. How would you characterize Henriette? We have always known her as a planner. But I get the impression she gets awfully frustrated if plans do not result in action. I know her as a doer, a doer obsessed with the idea of cooperation, of sharing, of networking. Henriette, thanks for coming. We are anxious to hear again of the role of LC, for it is important to all of us.

Then we will take a coffee break. We will need a coffee break before our next speaker, James Govan, who will ultimately occupy this seat here but is down front for purposes unknown. What meaning has national planning for bibliographic control for our individual libraries? After all, we must ultimately think of the implications of such planning back home in the trenches. Jim Govan is assigned to a trench in the southeast, on our southeastern front, guarding our flank from a hill in North Carolina called Chapel. How would you characterize Jim? I asked a few of his friends yesterday, and their remarks will not pass through my lips. But, out of Alabama, Tennessee, Swarthmore, and, since 1973, the University of North Carolina, we have an effective, intelligent and sometimes quiet ARL director in the person of Jim Govan, one of the nicest guys you will ever meet.

Now, to follow up at this morning's session, we have twisted Richard Dougherty's arm to make him moderate our session in whatever time remains. We are grateful for his willingness to serve in this capacity.

With that, we will begin our program and bring to the rostrum Lee Jones.

MR. JONES: Thank you, Frank. It is indeed a pleasure to be here. I was looking forward to a little cooler environment, but the pilot announced 93 degrees as we came in yesterday. Maybe this will be a warm meeting in more ways than one.

What this country needs is a good five cent bibliographic record. When the original statement was coined, a nickel went a lot further than it does today, but if one disregards the precise value suggested, one recognizes the underlying implication that the country needs fair value received for fair value given.

Bibliographic systems have been expensive to develop. Their continuing costs are, with a few notable exceptions, beyond the financial capacities of single institutions. Because of certain cooperative cataloging efforts, however, machine-readable bibliographic records are now being generated at rates approaching case production rates in the cigar industry. It may thus be time to consolidate our gains.

The Council on Library Resources (CLR) believes that it is now possible to bring into existence a nationally available system for the generation, distribution, capture, and use of bibliographic records. Enormous pieces of this complex system already are in operation, but the connections between the pieces have not been defined, much less implemented. Each ARL library is part of this puzzle. Each of you has a stake in the system that will ultimately develop, and each of you can — indeed must — contribute to the continued development of the bibliographic utilities and networks that are central to a nationally available bibliographic system.

Without special funding, it is unlikely that a national bibliographic system serving the diverse needs of nearly all of the nation's libraries would come into being in the near term. It is more likely that a number of separate, independent bibliographic systems would develop — but without those critical links that will help mold a national bibliographic record service. To help bring about more unified

development, the Council, with the advice and assistance of a number of institutions and individuals, prepared a program proposal that was used in a fund-raising effort. Eventually, seven private foundations and the National Endowment for the Humanities supported the proposal with commitments approaching \$5,000,000 over the next five years.

The program this funding will support - called the Bibliographic Service Development Program or BSDP - represents a basic change in the way CLR operates. With it, the Council has accepted the responsibility for pursuing the goals and objectives of the program in an active, yet catalytic, way. CLR has always been concerned with funding those activities that have the greatest chance of promoting or enhancing the goals of the nation's research libraries and institutions. The BSDP focuses specifically on bibliographic service problems that presently besiege academic and research libraries as well as other types of libraries.

The bibliographic service needs of libraries have become an oft-recited litany, which, appropriately enough, define the goals of the Bibliographic Service Development Program itself. These are:

- 1) To provide effective bibliographic services for all who need them
- 2) To improve the nature and quality of bibliographic products, and
- 3) To stabilize the costs of many bibliographic processes in individual libraries.

These are goals to which people with different, even divergent, interests can subscribe. But, how do you begin to achieve such goals in the context of the present bibliographic market environment? With tact, diplomacy, patience, and a responsive, productive organization. The BSDP organizational structure has been created with deliberate care, since it is essential to bring the very best minds available to bear upon the problems that lie ahead. It is also essential that the activities of the BSDP earn a measure of credibility in communities beyond librarianship - especially those of the scholar and the institutional manager.

Let us examine the BSDP organization. The program is funded from a number of sources, with CLR receiving the funds. The responsibility for disbursing these funds - whether by grant or contract - rests with CLR's Board of Directors. Clearly, the members of the Board will rely on data presented to them by CLR staff. Because of the complex nature of the problem, a BSDP Program Committee has been created to work with CLR staff. The responsibilities of the Program Committee are to help identify, evaluate, and recommend for action, projects that are supportive of and contribute to the goals of the program.

The initial members of the Program Committee were chosen because of their expertise and management strength. Because the early initiatives of the program are likely to concentrate on the presently-active U.S. bibliographic utilities, the chief operating officers of OCLC, RLG's RLIN, and WLN are members of the Program Committee. Thus Fred Kilgour, Ed Shaw and Rod Swartz all bring their capacities and style to bear upon BSDP problems. Similarly, the key organization in the production of bibliographic records is the Library of Congress. Some time ago, LC, demonstrating its interest in network management of bibliographic

records, established the Network Development Office (NDO). Henriette Avram, Director of NDO, is a member of the Program Committee. Incidentally, her remarks, which follow, may disguise the critical importance of her past, present and future efforts toward the ultimate success of the BBDP. She has often anticipated the profession and suffered the consequences of being a leader, encouraging others to hurry and catch up so she can get on with the future. Clearly, Henriette is invaluable to the Program Committee. The final member of the Committee is Carol Ishimoto of Harvard University, who represents the perspective of the working cataloger. She plays an extraordinarily important role on the Program Committee by assuring that BBDP project thrusts are practical and useful in the operating library environment.

The Program Committee may grow as new needs become evident. It is obvious that Canadian interests have not at this time been represented, but we hope to remedy that in the near future. There are other talents that may be sought as permanent additions to the Program Committee, but they have not yet been tapped. In addition to the members of the Program Committee, it is intended that CLR will draw on many more individuals in a series of task forces that will be formed to address specific issues.

The BBDP Program Committee has been absorbed these first few months in program definition and direction activities, and, in the end, the members of the Program Committee are responsible for the successful conclusion of the BBDP. It is crucial to note that the directors of the bibliographic utilities, by their participation, have committed their organizations to the concepts and goals of the Bibliographic Service Development Program. It is the spirit of cooperative effort to achieve commonly recognized goals that bodes well for the success of the program.

There is another committee within the BBDP organizational structure, the Management Committee. The role of this committee is to monitor the program to assure that each funded project proceeds in a timely, reasoned manner toward the stated goals of the program. The members of this committee are Frederick Burkhardt, past-chairman of the National Commission on Libraries and Information Science and past-president of the American Council of Learned Societies, William J. Welsh, Deputy Librarian of Congress, and Warren J. Haas, President of CLR.

Finally, there are a number of CLR staff assigned to the program: a program officer, two systems analysts and support staff. Additional CLR staff may be added as the tasks of program monitoring become more time consuming and demanding. The structure so far described - the CLR Board, the BBDP Program and Management Committees, and CLR staff - lacks a broad-based forum where representatives of professional associations, various (if not all) bibliographic brokers, interest groups and representatives of commercial organizations can present their points of view. Such a forum should encourage the discussion of BBDP thrusts and could result in alterations in specific projects or changes in general program direction. When the BBDP began in November 1978, such a group existed and was already actively engaged in bibliographic network problems and solutions. This group - the Network Advisory Committee to the Librarian of Congress - was organized to help provide guidance to NDO efforts. CLR has supported NAC and has kept members informed throughout the process of raising money for the BBDP.

program and its projects. Every BBDP project to date has been discussed with NAC. The precise role that NAC will play in the BBDP is at best uncertain. The present relationship with CLR is not formal, but it is useful in assessing the support for or opposition to certain BBDP projects. Whatever becomes of NAC, it is clear that the BBDP requires a broadly representative forum for both feedback on future activities as well as reasoned criticism of current projects. "Grass roots" understanding, participation, and support are vital to all BBDP projects. I have already dwelt too long on the relationship of NAC to BBDP, but it is an important, if confusing, relationship. Henriette will address NAC and its concerns as well as those of the Network Technical Architecture Group (NTAG), formed at the behest of FAC.

In spite of the early concentration on organizational structure, there is some progress to report after the first six months of BBDP operation, and the near future looks promising indeed. Longer range guesses on program direction are hazardous because of the dynamic, sometimes unpredictably dynamic, circumstances that exist today in the bibliographic market place. Many members of the ARL audience are participating in these dynamics.

It is important to note that the BBDP effort is based largely upon existing strengths. Clearly, the bibliographic utilities represent strengths, as do a number of other institutions. There is no effort to start all over again and create the best of all possible bibliographic service systems. Indeed, there may not be such a thing. The BBDP intends to work with all who share the program's objectives. The program is not designed to bail out this utility or that individual library automation system. In essence, institutions are means - they are mechanisms that will help achieve the program's aims. The BBDP is concerned with functions and capacities. The larger functional concern is the bibliographic operations in libraries, while the concern with capacities is an effort to upgrade certain institutional capabilities to use bibliographic records and to generate new bibliographic products from the aggregated set of all available machine-readable records.

A number of areas of concern have been identified so far by the Program Committee. One of the first is the lack of success in efforts to produce a standard institution identification code and a standard bibliographic notation system for holdings. Each computerized bibliographic service that identifies the holdings of more than one institution is faced with both of these problems. What code do you use to identify an institution in a machine-readable record? The National Union Catalog symbol is available but it has grown unnecessarily complex and requires the compilation of a dictionary in order to ease the manipulation of the symbols. Consequently, each bibliographic utility has devised its own "simplified" institution identification code. Unfortunately, the codes developed by each utility are unique and therefore incompatible. They cannot be merged into a common data base without the construction of machine indexes and agreements on codes to be used.

Similarly, holdings are recorded in both computer and manual systems in diverse ways. No standard for recording holdings data exists. Once again it is a complex if not impossible task to merge the holdings data generated in two different systems. The American National Standards Committee Z39 has been working on these problems, but we do not yet have acceptable standards.

The Program Committee requested that a review of this situation be conducted to include an outline of progress to date and recommendations for steps that will encourage the completion of acceptable standards in these two areas. Elaine Wachs, long active in this area, was commissioned to prepare the paper. She has submitted a final draft and the Program Committee will review her recommendations on May 14th - next Monday.

A second area being explored by the committee is the linking of the bibliographic utilities one to the other. Before the BDDP began, a document called the Message Delivery System was produced by NTAG and published by NDO. The phrase "Message Delivery System" refers to the manner in which types of messages or data are handled between computers. The document identified the general requirements for a system that would allow different bibliographic computer systems to talk to one another and to pass data back and forth, that is, to deliver messages between computers. Shortly after the NTAG document was published, the Council received a proposal to identify the specific requirements for the message delivery system. At about the same time a second proposal was received which was intended to test a computer-to-computer communication protocol. Incidental to this proposed protocol test and as an outgrowth of it, it was hoped that the specific requirements for the message delivery system could be defined. The second proposal was considered to be a short cut to the detailed requirements while achieving another objective as well. But conditions were not quite right for either proposal.

During the process of considering how best to establish a link between the utilities, specifically to implement a message delivery system, it became clear that the relationships that would result from such a linking require a set of guidelines to govern any link-related transactions. CLA staff prepared a Memorandum of Understanding designed to provide those guidelines and submitted it to the participating utilities. Then it became clear that no one knew precisely the service and economic impact a link among the utilities might have on the utilities themselves, on their subscribing libraries, and, of course, on the users of those libraries. Without this information, it was not possible for all of the utilities to sign a Memorandum of Understanding without extensive legal advice and the preparation of legally binding contracts.

To provide the information upon which a linking decision could be made, a two-phase study was required. Davis McCann, an independent consultant, and formerly Planning Officer of the National Library of Medicine, has undertaken and nearly completed Phase I. McCann will identify the data available from the utilities in order to assess the value in economic and service terms of a link. He will also identify the kinds of links that must be evaluated. The completion of Phase I will include a report for proposal to accomplish Phase II, which is the study itself. It is expected that Phase II will be handled by a contractor with sufficient resources to finish the study and prepare recommendations within six months.

The second phase will provide the BDDP and the participating utilities with the data upon which to base a decision both on whether to link and on the character of the link. If linking is justified, then other "sticky" issues will have to be resolved, such as the development of a pricing and payment system for services

provided by one utility to the subscribers of another. A variety of links are technically possible right now, but there are obstacles other than technological ones that must be overcome.

All of the utilities have a history of working together on one level or another. Most are members of LC's Network Advisory Committee, and I believe that they are also members of the Council of Computational Library Networks. But, however, until the BDDP got under way did the managers of the utilities meet as frequently -- that is once a month -- nor did they focus their attention as consistently on how to integrate their individual strengths in the national interest. One of the results of this heightened sense of inter-network awareness was an agreement concluded between ELC and WLN, a step that pledged the two utilities to work together on a number of common problems, to share data bases and to support the efforts of the BDDP. It is possible that a number of theoretical problems involved in linking separate bibliographic computer systems will be tackled by the ELC-WLN committee.

A third interest of the BDDP Program Committee is a project begun by LC's RDO called the Nationwide Data Base Design Project. Ed Buchinski, working out of RDO, produced the seminal document for this project, and in it he identified a number of research tasks that had to be accomplished in order to create a nationwide data base from the many separate bibliographic data bases that now exist. He might be expected, authority and quality control issues are major areas of concern. How does one accommodate multiple authorities such as LC's subject headings and the National Library of Medicine's Medical Subject Headings? How does one control, against a single standard, the quality of bibliographic records generated in several institutions? How is a composite data base composed of records from different systems searched? NCLIB recognized the value of the project and funded several background tasks identified by Buchinski. Some of these tasks are now complete, with others in various stages of completion. Most of the work that needs to be done, however, is yet to be started. The BDDP, in concert with RDO, is intent upon reviewing the present research path of the Nationwide Data Base Design Project. On May 14, 17, and 18, a group of people representing U.S. bibliographic utilities and the Library of Congress will meet with CLA consultants to review the entire project. The objective is to verify that the present approach is the optimum approach, that the underlying assumptions are valid, and to identify any additional tasks that need to be added to the project. We hope that the completed project will specify the manner in which the several bibliographic data bases in this country can be jitted into a nationwide inventory of bibliographic records in machine-readable form.

A fourth topic of BDDP interest, A&CR-2, has caused all sorts of ideological controversies in this and other groups. The Program Committee is concerned that what was assumed would promote standardization, in fact provides a wide range of options. If each organization producing machine-readable bibliographic records selects options independently, the results will be chaotic. Thus, certain options have little or no effect on efforts to merge data bases. Others, however, could result in a variety of inconsistencies that would bewilder library staff and users.

The Library of Congress has been aware of these issues for months. So have the utilities. However, communication between LC and a variety of interested U.S. parties on this issue has not been fully effective. LC's participation is complicated by a desire to be consistent with other national libraries. Some confusion has grown out of LC's efforts to lead in the selection of AACR-2 options. LC issued a call requesting verbal or written comments on a set of options LC intended to adopt. These options grew out of contacts that LC had with one of the utilities. The other utilities apparently were not prepared to render institutional judgments on LC's option selection in a timely fashion. Each utility sent representatives to the LC review meetings, but these representatives were not prepared to present an institutional point of view. A dilemma has developed. LC believed it had sought and received a broad-based review of the set of AACR-2 options it had selected. The utilities evidently did not realize what the deadline was, so only one managed to register its institutional response. LC, under pressure to respond to option selection activities of other national libraries in the ABACAS group, proceeded to participate in that selection of AACR-2 options. The result: utilities are frustrated that they did not fully participate in the selection, and LC is concerned about the difficulties in reaching policy decisions with appropriate consultation from the U.S. library community.

Not all of the options have yet been selected, and the utilities are at work attempting to identify their preferred options. The Program Committee is assured that the utilities will accept their responsibilities to work with LC on option selection. To that end, the BSDP is creating a Task Force with the specific charge of coordinating the selection of options among the utilities and LC.

Let us turn now to a more technical question: the format in which machine-readable records appear. For several years, voices have been raised to encourage the examination of the bibliographic record in machine systems. MARC in its two forms, MARC and MARC II, is a bibliographic record communication format with a number of characteristics that serve the internal needs of the Library of Congress and often relate to the printed products of LC. Consequently, not one user of MARC tapes can efficiently use the tapes without removing certain data and/or reformatting or eliminating duplicate data elements. LC's NDO has recognized this problem and has sought funding for a project to "inter-institutionalize" the bibliographic record format. The communication format would thus be altered (that is the content and content designators would be altered) in order to more nearly meet the needs of those compiling and using MARC tapes. The Program Committee is anxious for the work to begin as soon as possible.

I have discussed five areas of interest so far ... standards, linking, data base design, AACR-2, and the record format. A sixth area of interest to the Program Committee has been touched on only briefly during several meetings. How will the wide variety of in-house bibliographic systems, commercial systems, and regional network bibliographic systems be incorporated into a national bibliographic system? The Washington Library Network provides a model for some of the regional efforts. So far, interface models for the commercial and in-house systems have not been selected. The BSDP will pay careful attention to the functional integration of these components into the national system.

A seventh area of BSDP interest is the performance of the Library of Congress in an era of on-line systems. Right now LC is the pre-eminent producer of bibliographic records in machine-readable form. It is likely to remain so, but there is increasing frustration with some aspects of LC's performance. This can be traced to two seemingly disparate phenomena. First is the increasing use by libraries of blanket and approval order plans, which tend to make materials available as soon as they are published — even, occasionally, before the official publication date. The second is the increasing number of libraries that rely on computerized, shared-cataloging services as opposed to relying on printed products for cataloging information. When these two phenomena occur in an individual library, the stage is set for frustration that, rightly or wrongly, is directed at LC.

The frustration also relates to institutional pride — pride in having the foresight to mount a productive approval plan and pride in subscribing to a shared cataloging system. Where is the frustration? Note the following scenario: A new U.S. publication is in hand but, either no full bibliographic record can be found in the shared cataloging system or an abbreviated CIP record is found. CIP data is better than nothing, but it still breeds frustration. What's wrong? Has LC or the bibliographic utility failed this library? It's conceivable that both have. Is it possible that a local library has an item before LC processes it? Yes. In addition, it is not unusual for two or three weeks to slip by before an LC-produced bibliographic record is finally distributed by the MARC tape distribution service. The tapes are mailed to the utilities. The utilities must then process the tapes before the records can be added to the utility's bibliographic data base. The mail and utility processing delays can add two weeks or more to the internal LC delay. The result is a delay of three to five weeks — and sometimes more — from the time a record is generated to the time it becomes available to a subscribing library. Is there any wonder that frustration develops? And, since many librarians do not understand that the utilities cannot, or, most often, do not dynamically update the data base as soon as new MARC tapes are received, and since it is clear that LC produces the great majority of the bibliographic records in this country, it is logical to focus frustration on LC's performance.

Clearly, it would be useful if both LC and the utilities could improve their performance. Though specific proposals have not yet been developed, the BSDP Program Committee is very concerned with and committed to helping LC improve its performance.

With or without improved LC performance, will LC be allowed to participate in a national bibliographic network in an on-line mode (or any other responsive mode for that matter)? That question we all hope will be resolved in the affirmative by the Congressionally-mandated study of LC's role in on-line activities outside the federal government. Aside from diverting the energies of NDO for several months, the fact that the question was asked at all causes some concern with the precise nature of LC's role.

The final concern of the BSDP that I want to share with you is governance. The Network Advisory Committee forwarded to BSDP's Program Committee a work statement for a consultant who would be charged with recommending an appropriate governance structure for the system that will evolve from the

activities of the BSDP. The Program Committee decided to table this issue until such time as it becomes clear what it is that will require governing. It seems hardly useful, and probably impossible, to recommend a governance mechanism for what is still an embryonic bibliographic system. Therefore, until the results of the program are clearer, no action will be taken on the NAC work statement. Other concerns will be addressed by the Program Committee, but these are the ones that have occupied the first months of the project.

What is expected from the Bibliographic Service Development Program? What differences can be expected after five years of BSDP activity? More succinctly, what will \$5 million buy? We do not know precisely, but we do have some ideas. Obviously, the available funds will not do all that is required. Therefore, it is incumbent upon CLR to use these resources to stimulate the use of other funds for complementary purposes. The program must be catalytic in nature — that is, it must stimulate activities that otherwise might not take place. So what results do we expect? Or in what direction are we headed?

Obviously, a bibliographic record service must be cost effective for all participants. Among the first activities of the BSDP is to assess the cost consequences of linking the bibliographic utilities. Linking may prove to be without long term value. We are also intent upon devising a bibliographic record service that is capable of supporting an array of useful products. Some libraries will still require cards for card catalogs. Others will want the capacity to create and periodically update special bibliographies. Still other libraries may want to develop an alerting service based upon new records added to the data base. The point is not to make decisions that will unduly constrain the ultimate capacities of the service.

By implication, this entire effort is aimed at improving information services for the users of libraries. The actual benefits to users will probably fall into two categories — one, those benefits that are a function of the bibliographic record service itself, and two, those which flow from the specialized uses local libraries make of the service and its products.

Of fundamental importance to the development of the bibliographic record service is a way of sharing the work of building a comprehensive, standardized bibliographic record. This is an obligation of the Library of Congress, the other national libraries, and the research library community. This process will require a carefully prepared set of instructions and guidelines for participating institutions. The pattern is being explored now with LC's programs with Northwestern University in Africana and with the Texas State Library for Texas state documents.

Although there are now certain constraints that prevent a library from participating in the services of more than one bibliographic utility (I know there are some exceptions to this), it seems reasonable that all libraries ought to have a choice of utilities from one moment to the next. A library may want to use the special services of one utility for serial check-in but the shared cataloging services of another utility. The economic structures now in place do not permit this option. Similarly, special terminals are now required to gain access to specific utility services. The technology is here which allows a variety of terminals to be used on a given system and across utilities.

It is clear that any nationally available bibliographic data base will have to accommodate a variety of authority control systems. LC is now making available parts of its authority files with the anticipation that these records will form the basis of authority control systems as they develop within the utilities. There is no notion at this time that these authority control systems will be identical. This is a non-problem at the moment, since only one of the U.S. utilities has an on-line authority control system. But, as others develop authority control modules, the problem of merging files from separate systems will have to be faced. Perhaps, the answer is a national authority file available to institutions as the raw material for their individual authority control systems.

Libraries with special collections frequently develop special bibliographic data bases in machine-readable form. We believe that these files should also be available to the users of a national bibliographic record service. However, the institution responsible for the creation of these data files will have to make the final decision on access. But if public funds have been used to create the file, should it not then be in the public domain? We must work toward the goal of unconstrained access to bibliographic information - not only nationally, but internationally.

As I said earlier, the manner in which bibliographic data bases of all kinds are incorporated into a nationwide service and put to effective use by individual libraries has yet to be fully defined. Chicago, however, has made substantial progress in this area. There are any number of scenarios that might be imagined. For example, one might begin with a query-response relationship between library material vendors and individual libraries. A library may be able to order materials on line, verifying the citation in hand, placing the order, updating the library's in-process file (which may be commingled with the files of a prescribed set of other libraries), starting a claim clock, preparing processing packets for the item ordered, and even creating an alerting notice for the library users that may have a reason to be alerted to the presence of the ordered item. The same transaction may encumber funds and, upon receipt of the item ordered, will result in a check being issued (or funds electronically transferred) to the vendor. Every aspect of library record handling and processing will be affected and must be made less costly.

The bibliographic record service must provide a means for charging and paying for services received. Payments will have to be made to the not-for-profit utilities as well as to the commercial participants in the system. The users of each service must somehow be able to determine the cost of each service used and be able to keep track of their fiscal liabilities over time in order to stay within prescribed budget limits. The system, in short, must be equipped with an easily understood, dynamically updated accounting module. Other elements of this evolving bibliographic record system will include new approaches for communication among scholars in specific disciplines and the production of specialized bibliographic products.

Well, I have attempted a brief background statement, an outline of the present concerns of the BSDP and its Program Committee, and I have speculated on where the program might lead. Will we produce that five cent bibliographic

record? It is unlikely that we can produce a record for a nickel, but we are confident that high quality bibliographic records and services can be produced at reasonable rates, that bibliographic products we have not even defined yet will become available, and that those libraries that take full advantage of an evolving nationwide bibliographic capability can achieve firmer control over their own costs and simultaneously improve their performance.

THE ROLE OF THE LIBRARY OF CONGRESS
IN NATIONAL PLANNING FOR BIBLIOGRAPHIC CONTROL

Henriette D. Avram

Library of Congress

MR. GRISHAM: I have always wanted to meet MARC's mother. Henriette.

MS. AVRAM: Some people I know say "Godmother" in the Mafia sense.

While I was listening to Lee's presentation, I was concerned about trying to remove some of the duplication. Naturally, since our efforts are geared in the same direction and we are interested in the same things, duplication is unavoidable. But rather than attempt to remove anything I might repeat of Lee's, I ask your support in permitting me some duplication of this talk here.

PROLOGUE

Most of you are well aware of the networking events that took place at the Library of Congress (LC) before the initiation of the Bibliographic Service Development Program described to you by Lee Jones. In order to set the framework for LC's involvement in nationwide networking, I will very briefly review those events, which began in 1975 and have continued to date.

In the interest of accomplishing another step toward the development of a full service network, as described in the National Commission on Libraries and Information Science (NCLIS) program document,¹ NCLIS funded a study, to be conducted under the direction of LC, concerned with the definition of the role of LC in the evolving national network. The date was 1975; the office, the LC MARC Development Office; the contractor, Lawrence F. Buckland, Inforonics, Inc. The result of the study, which reports on the stated needs and opinions of many of the networking organizations in this country, can be summarized by stating that: If LC continued with its then-current MARC services and successfully implemented its planned expansion of those services to records for name and subject authorities, music and sound recordings, non-roman alphabet materials, in-process materials, and international MARC records, and if all this data would be made available through both the tape service and an on-line service, LC would satisfy the requirements of the U.S. library community for machine-readable data. The study report went on to say that, from a nationwide point of view, what was missing was a coordinating body to bring the many disparate networking efforts together into a cohesive whole. The study recommended that LC assume the responsibility. This study is now in print. The document, entitled The Role of the Library of Congress in the Evolving National Network,² can be procured from the Superintendent of Documents, U.S. Government Printing Office.

Although the document had not yet been published, the results of the study were known by 1976, and, based on its recommendations, the Librarian of Congress established the Network Development Office in that year. The Network Development Office has a dual responsibility: one, working with organizations outside of LC in an attempt to build toward a cohesive, nationwide information networking system, and two, working with units within those LC having responsibility for providing bibliographic tools and services to the community. Toward the fulfillment of the first responsibility — working with outside organizations — the Deputy Librarian of Congress called, in December 1976, a meeting of the policy makers of the major library networking-related organizations to explore with LC staff the possibilities of cooperating in network development. The attendees felt that the goal was worthwhile and that the meetings should continue. Thus, the Network Advisory Group, which later was formally established by the Librarian of Congress as the Network Advisory Committee, came into being.

The Network Advisory Committee has made significant contributions toward networking over the past two-and-a-half years. Its planning paper, Toward a National Library and Information Service Network: The Library Bibliographic Component,³ has been given wide distribution, comments have been taken into consideration in its various editions, and it is hoped that the final edition of the paper will be published this year. The paper, its recommendations, and Committee activities have been discussed at several major American Library Association meetings, with Committee members making the presentation. The planning paper listed detailed recommendations for action by units of LC and by a Network Coordinating Agency. In the absence of a coordinating agency, the Committee asked that the Network Development Office assume this role on an interim basis, in order that the tasks be initiated as soon as possible. Four were given the highest priority, and these are already in various phases of implementation. They are briefly described below:

- 1) A Network Technical Architecture Group was established, and its principal activity was the statement of the general requirements for a message delivery system, that is, a communications facility linking together the major bibliographic utilities. The message delivery system was documented in a Network Development Office Network Planning Paper⁴ and incorporated into a proposal which, when approved by the Network Advisory Committee, was submitted to the Council on Library Resources for consideration.
- 2) A Network Advisory Committee Subcommittee on Governance compiled a work statement to be incorporated into a "request for proposal" for funding to study the governance issues of the library bibliographic component of the full service network. This work statement was submitted through the Network Advisory Committee to the Council on Library Resources for its consideration.
- 3 & 4) Tasks 3 and 4, namely, the specifications for an authority control system and a bibliographic data base configuration, combined to become one project when staff recognized that it was not logical

to separate one from the other. This project became known as the Nationwide Data Base Design Project. My presentation today will concentrate on this aspect of the Network Advisory Committee's recommendations, since so little has been said about it to date.

THE NATIONWIDE DATA BASE DESIGN PROJECT

The genesis of the project was a proposal, submitted to NCLIS by the Network Development Office in July, 1976, to fund a study to determine the role of authority files in the evolving national network and to establish requirements and produce a design for a nationwide authority system. With funds from NCLIS, the Network Development Office then contracted with Edwin Buchinski of the National Library of Canada to develop a methodology for approaching the problem. Another network planning paper, Initial Considerations for a Nationwide Data Base,⁵ recommended a series of studies leading toward a high level design. This early work emphasized that, in the context of networking, one could not address authority files without equal consideration being given to bibliographic and location files. Thus, the two tasks, recommended by the Network Advisory Committee (Tasks 3 and 4 above) and undertaken by the Network Development Office, became one.

The principal question posed by the project is: "How do we build and maintain several physically separated data bases, such as those housed in OCLC, Inc., the Research Library Information Network (RLIN), the Washington Library Network (WLN), LC, and the National Library of Medicine, and use them as though they were one logical data base?" In summary, "Is the nationwide data base the summation of the separate data bases of the major bibliographic utilities, and if it is not, what is it?" We so often hear conversations concerned with the nationwide data base. This project is asking what and how.

This study assumes that 1) there is a body of machine-readable data that is actually a "data resource," that is, it does not have the characteristics of a catalog, but it is useful and should be accessible, and that 2) there is a body of machine-readable data that could comprise a nationwide union catalog. This latter data base will be built by many institutions conforming to standards. Duplicate records will be brought together, and authority, bibliographic, and location records will be linked. What portion of the nationwide data base will be in category 1, and what portion in category 2? What are the economics of providing consistency? What are the economics of not providing consistency? These and a myriad of other questions are what this study is all about. We do not know the answers. We are groping. But perhaps, when the study is completed, there will be enough background information to provide the answer to the question, "How do you build a nationwide data base made up of separate data bases, each of which was created by many institutions, and share these resources with the entire country — not just the automated system of which you are a member?"

Twenty tasks have been defined to date, and this is not the time nor the place to describe the details of each one. However, several of the background studies are in various stages of completion, and these should be of interest to you.

To provide a foundation for these studies, a questionnaire was mailed to 650 libraries, randomly selected from among different types of libraries — large research, public, state, special, etc. The purpose of the survey was to identify cataloging codes and practices, subject heading systems, classification systems, authority file practices, the use of LC publications as sources of authority information, catalog conversion plans, etc. The survey has been completed, and the data from over 400 libraries is being tabulated at the present time. We are also analyzing the types of libraries that did not respond, in case this will provide additional useful information. The results of the analysis should give us some measure of the divergence we are actually faced with. For example, how many subject heading systems are there in widespread use? How many descriptive cataloging codes are being used? This information will be relevant to several of the tasks that follow.

A study is also underway to assess the effectiveness of integrating retrospective data into the nationwide machine-readable union catalog. The presence of retrospective data would improve the usefulness of the nationwide data base for interlibrary loan, collection management, and reference and research, and would also reduce the amount of duplicate cataloging and conversion to machine-readable form. The study is being conducted by analyzing the problems associated with integrating records into the National Union Catalog: Pre-1956 Imprints,⁶ by examining the policy for retrospective conversion and associated problems, as reported by the University of California at Berkeley and the University of Michigan, by examining the policies and practices defined for the 18th Century Short Title Catalogue Project, and by examining the characteristics of authority records in the LC Official Catalog, concentrating on rates and types of revisions made to LC headings. When one realizes that retrospective data, in the context of a union catalog, can be defined as all data that does not conform to the most current standard, whether the data is in machine-readable form or not, one begins to understand the magnitude of the problem. For example, every machine-readable record which does not conform to AACR 2 by January 1981 will be a retrospective record. This study will result in two reports: 1) the assessment of the difficulties, and 2) possible solutions for retrospective conversion with machine assistance. The results of the study might tell us what part of the data base will have the consistent characteristics of a union catalog and also give us information on the economic viability of providing expanded resource sharing.

There are several studies concerned with data-base configuration design which require some hard statistical facts. In order to gather this data, we have nearly finished analyzing the LC MARC bibliographic files for all forms of materials and all languages, that is, data from 1968 through February 1979, including any retrospective records converted during this period of time. There are approximately 1.2 million bibliographic records included in the analysis. As a byproduct of this effort, we have completed a study to assist Processing Services in converting the headings in the MARC files from ALA or AACR 1 headings to AACR 2. Certain data elements in the headings were ignored in the analysis

because they were not of concern in the change to be made to AACR 2. For example, all headings beginning with "Wisconsin. University." under ALA rules will be changed to "University of Wisconsin." All subunits of the ALA heading, such as "Wisconsin. University. School of Business." can be ignored in the analysis because, regardless of the departmental subheading, the phrase "Wisconsin. University." will be changed to "University of Wisconsin." There are approximately two million personal, corporate, and conference headings in the MARC file which, when shortened to the specified number of data elements and then normalized to remove punctuation, disacrities, etc., are reduced to 757,574 unique headings. The results show that the total number of unique headings that occur from one to 24 times equal 99 percent of the total population of 757,574. This means only one percent, or 5502, of these headings occur more than 24 times.

Cards were prepared by machine, listing each heading that occurred 25 or more times, viz., the 5502 headings. These cards will be used to pull all authority cards matching the heading. The AACR 2 form of heading will then be added to the card, and the authority data will be converted into machine-readable form. If the name authority record is already in machine-readable form, the record will be updated to reflect the AACR 2 form of name. LC is planning to have all headings which appear from three to 24 times, (approximately 100,000 unique headings) reviewed to determine whether the heading is already in AACR 2 form, encoded as AACR 2, or undetermined as to cataloging code, and the authority record then converted into machine-readable form. This review and conversion will be done with contractual support. Those headings that occur only once (498,120) or twice (126,482), for which there is a lower probability that the heading will occur again, will be ignored for the present. The 100 normalized headings most frequently used were listed, out of curiosity, and "United States. Congress." was the winner by a large majority. The results of this study will be published in the LC Cataloging Service Bulletin for whatever use libraries wish to make of them. It is planned that the MARC name authority records for headings occurring more than twice will be distributed so that the community could automatically convert from an old form to the new form. A COM publication is also planned which will give both the old and the new headings. In order to do this as expeditiously as possible, this latter list may include only the more frequently occurring headings.

There are a series of tasks to determine how subject control can be maintained in a network environment, that is, when items are being catalogued by multiple institutions for a nationwide data base. The difficulties of integrating headings within a single subject heading system are being assessed with the hope that it may be possible to establish guidelines for creating subject headings in the network context. Two of the several tasks involved in this study are presently underway.

A subject heading pilot project has been initiated with Northwestern University Library and LC. Northwestern was asked to participate, since the pilot project could be considered an expansion of an ongoing Africana project described later in this report. The major objective of this project was to determine the differences in assigning LC headings to an item, based on accessibility of the subject heading resources maintained in the LC Subject Cataloging Division. David Michener from Northwestern University Library spent two weeks working at LC.

The Northwestern University Library supplied a test set of 150 items which had been cataloged at Northwestern, using the tools available at that institution. The test set of items was then cataloged by the subject specialists at LC and the bibliographic records were compared. Mr. Michener's presence at LC provided the opportunity for him to discuss the differences in subject heading applications. The results of this effort are being analyzed at this time and will be reported.

The purpose of yet another task is gain insight into the different ways in which organizations other than LC apply LC subject headings. A sample of 448 serial records were used from the CONSER data base, representing items input by a variety of libraries participating in CONSER. These records were categorized as: 1) CONSER records not cataloged or used by LC, 2) CONSER records cataloged by CONSER participants and used by LC, and 3) CONSER records originally cataloged by LC. All subject headings on the sample records were reviewed and compared with LC practice. The headings included those published in the LC list of subject headings as well as those used by LC but not included in the published list. The results demonstrated that more than half of the headings assigned outside of LC reflected LC practice, and a large portion of the remainder required only revision -- the majority at the subdivision level -- to conform to LC practice. The approach to this test was general, in order to provide some empirical data to establish more specific categories of non-LC-assigned headings for analysis in later tasks. We intend to study the LC subject headings assigned by the National Library of Australia and the National Library of Canada, as well as monographs from a sample selected from outside library reports to the National Union Catalog.

Another task of the Nationwide Data Base Design Project is composed of two subtasks: 1) the analysis of series authority requirements, to determine whether series authority and treatment information should either be incorporated into the MARC communications format for authorities or established as part of a MARC bibliographic record format, and 2) the extension of the selected format(s) to carry any additional data required. Part 1 has been completed, and, stated briefly, it is being recommended that series authority and treatment data be included for communication purposes in the authority format, based upon the rationale that, for other types of headings, an authority record is created for each heading. It appeared illogical and unnecessary to set a new precedent. This issue is too complex to describe completely in this context. Documents describing the rationale and proposed modifications to the MARC authority format will be distributed to all concerned for review and comment.

As these tasks are completed and as resources permit, it is my intention to publicize the tasks and their results in network planning papers which will be made available to the community at large. We are anxious for your review and comment, as these studies are being funded by NCLIS (although LC contributes staff) and the work is being done in the context of a nationwide need.

It is obvious to those involved that some of these studies may provide a negative result, that is, something may not be possible to accomplish from an economic or a technical point of view, but it is important to know this fact. Knowing with reasonable certainty that something cannot be accomplished is itself a positive result.

A Bibliographic Advisory Committee, made up of representatives from various types of libraries, has also been established to advise on this project. In addition, as Lee Jones indicated, under the auspices of the Bibliographic Service Development Program, a three-day meeting will be convened with representatives from OCLC, Inc., NLW, and RLIN, as well as other experts from the field, to review the various tasks included in the Nationwide Data Base Design Project, to see if tasks should be deleted, modified, or added.

OTHER LC NETWORKING ACTIVITIES

Cooperative Cataloging Through Centers of Responsibility

There are several pilot projects underway to test the concept of cooperative cataloging by centers of responsibility. The organizations involved are the Government Printing Office (GPO), Northwestern University, and the Texas State Library. In two of the projects, namely GPO and Northwestern University, LC is distributing the bibliographic records, and, in all three projects, LC is incorporating newly established headings into its MARC authority files and its Official Catalog.

Government Printing Office

LC and GPO entered into an agreement starting in October 1978. When GPO needs to establish a new corporate name heading for the Monthly Catalog of U.S. Government Publications,⁷ the name is compared with the LC Official Catalog, and the new entry, with cross references if needed, is established in conformity with the LC catalog. It then becomes a record in the Official Catalog and in the MARC name authority file. Since December 1978, LC and GPO have also held a series of meetings to discuss cataloging practices, with the intention of achieving a standardized interpretation of AACR 2, insofar as possible. The records for the Monthly Catalog, which are input into OCLC by GPO, follow LC MARC procedures. When these records are returned to GPO from OCLC for the production of the printed catalog, they are submitted by GPO to LC for distribution via the MARC Distribution Service.

Northwestern University Library

Funded by the National Endowment for the Humanities, the Northwestern University Library entered into a pilot project with LC early in 1978. Northwestern has the responsibility for compiling the Joint Acquisitions List for Africana (JALA).⁸ During the pilot, each Africana item cataloged by Northwestern, or contributed to Northwestern by a union list participant, is searched in LC files to see if LC has already cataloged the title or if the name, subject, and series headings have been established by LC for another title. If LC has cataloged the item, the LC record is used. If LC has established the heading, it will be used. If a new name or series heading is established by Northwestern for an item, that heading is established in conformity with existing LC headings, and the new heading is contributed to LC for input into the Official Catalog and

LC's MARC name authority file. (In the case of series, the record is added only to the Official Catalog, since series authorities are not yet in machine-readable form.) New subject headings are established by LC's Subject Cataloging Division. Since access to the entire Official Catalog is required, Northwestern has assigned a cataloger to LC to search the Official Catalog for authorities and bibliographic records. Bibliographic records found in LC's Official Catalog that are outside the scope of MARC are input by Northwestern to the Africana data base. The Northwestern staff also has access to the MARC files via the LC on-line system. The Africana records are converted to the MARC communications format by Northwestern, and LC will shortly begin to distribute them as part of its MARC Distribution Service.

Texas State Library

LC and the Texas State Library began a pilot project in February 1979. LC duplicated all corporate names for Texas governmental bodies, and those records were integrated into the State Library authority file. Since LC has not continued to send newly established names since the original duplication of the LC corporate names for the State Library, when the State Library requires a new name, a search is made in its authority file, the OCLC file, the National Union Catalog,⁸ the National Union Catalog: Pre-1936 Imprints, and LC's Name Headings with References⁹ to obtain an LC heading. If a heading is not found, the State Library either uses a heading established by another organization or establishes a new heading itself and records the heading on a worksheet to be transmitted to LC. The heading is verified against the LC files, any modifications required are made, and an authority card is then returned for use in the State Library. The heading established in this way is used not only by the State Library but also by other libraries in Texas, since the bibliographic records using these headings are input into OCLC. The authority records for the headings are converted by LC into machine-readable form for integration into the MARC name authority file and inclusion in the LC Official Catalog. All communications between LC and the State Library are by teletypewriter. If the project is considered a success, it will continue beyond the pilot.

Mass Storage, Retrieval and Printing System for LC Non-MARC Cataloging

The Library's Cataloging Distribution Service (CDS) is in the process of exploring a mass storage system which will permit it to automatically retrieve and print LC non-MARC cataloging in catalog card format. The new system would link with the existing computer-controlled laser printing system (known as CARDS - Card Automated Reproduction Demand System). The same electronic printing system will provide the capability to produce MARC and non-MARC catalog cards on demand, prearranged and ready to deliver to library subscribers in the United States and abroad. Non-MARC cataloging is currently reproduced in a manual system, which includes maintenance of a master card file of over 6,000,000 cards, representing cataloging in over four hundred languages. The new system will enable the automated retrieval and printing of the full range of non-MARC cataloging, including non-roman records.

The master card created in the traditional, manual way will be optically read, loaded into the new system, and stored in image form. The records will be retrievable by the LC card number which would be keyholed at the same time that the record is read optically. Included in the system will be an image enhancement feature which will improve the quality of master cards, some of which were printed over 70 years ago. This project, if implemented, will not be operational for three to five years but will result in the storage of over 8,000,000 retrospective non-WARC records as well as the ongoing cataloging output of LC not yet within the scope of WARC.

Capturing non-WARC cataloging data in image form, with access points in machine-readable form, would make possible the distribution of non-WARC data in a limited format. At present, CDS requires the LC card number as an access point. However, the LC call number may be considered as an additional access point during the design phase of the system. The input of other access points (or even a deletion WARC record) for non-routine cataloging, which at present does not fall within the CDS requirements, could be introduced later to provide additional access to the non-WARC records stored in image form. Naturally, a careful feasibility and cost analysis would precede any expansion of the system beyond its original capabilities.

Both image and machine-readable data are capable of display on high resolution terminals. The terminals will be used by CDS to allow operators to verify the quality of the card image and to keyhole and verify access points. The ability to print on demand from a file containing millions of documents, in this case card images in many copies, has implications for document delivery and for producing information on demand.

The application of this technology by CDS would permit it to continue to produce traditional library catalog cards as long as there is a significant need for them, especially in libraries which cannot take advantage of automated cataloging services in the near future. It may be the beginning however, of a series of steps toward bridging the gap between the computational and non-computational catalog and the solution of other information needs.

Nationwide Standards

The Processing Services Division of LC has, in the past few months, established a tentative 'national level bibliographic record' for review and comment by the library community. The national level bibliographic record makes explicit what has always been implicit in the LC WARC format, that is, if libraries are going to cooperate toward the building of a nationwide data base, standards must be adhered to. As has been stated many times in the past, a format is made up of three elements, the physical structure, the content, and the content designators. It should be understood that the national level bibliographic record presently under discussion is concerned with only the content, i.e., the bibliographic data elements, and is not meant to be a revision of the format.

However, LC, as well as many other organizations and individuals, recognize that many years have passed since the initiation of LC MARC and that the original concept of distribution, principally from LC to other organizations, is no longer valid. Today we are operating in a networking environment, and the bibliographic utilities are also distributing MARC records. What is needed is a review of the current MARC format to inter-institutionalize it so that the result will be a United States MARC format. Naturally, any such modification must take into consideration present procedures in order to avoid unnecessary and costly modifications to present systems. This review should be a cooperative effort and should certainly include, among others, the bibliographic utilities. LC has initiated discussions for this effort internally and is seeking funding at this time to implement such a review.

EPILOGUE

William J. Welsh, Henriette D. Avram, Lucia J. Rather, and John C. Rather, all at that time members of the staff of LC's Processing Department, appeared before you at an ARL meeting in 1975, describing LC's operational and planned bibliographic services. These plans for the Library of Congress as a major component of any future system have not been changed. We will continue to make all products available in a variety of formats (microform, hardcopy, and machine readable) as long as they are needed. However, we recognized then, and the passage of time has not lessened this recognition, that LC will never catalog all the materials acquired by the nation's libraries. Present technology offers the potential for more effective resource sharing for all organizations, including LC. We must continue in our efforts to build this resource-sharing system to provide timely and economic services to the users of the nation's libraries.

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IMPLICATIONS FOR RESEARCH LIBRARIES

James F. Govan

MR. GRISHAM: A man called Jim from Carolina, he has been introduced once, but we will introduce again James Govan, Director of Libraries, University of North Carolina, to speak from his perspective as an ARL director.

MR. GOVAN: Thank you, Frank. As you may know, I am a last minute substitution for Joe Treyz, who is the Chairman of the ARL Task Force on Bibliographic Control. But I want it clearly understood that if I say anything erroneous or offensive, it's totally Joe's responsibility.

I think the only appropriate way to begin this response to the two earlier speakers is to acknowledge, with gratitude, the significant preparatory steps towards the creation of a national library network that both the Library of Congress — with crucial assistance from the National Commission — and the Council on Library Resources have made. Both organizations are addressing the difficult but basic questions which must be faced if a network is to come into being. The Library of Congress, although constrained by international obligations, has been highly responsive to the needs and wishes of the American library community. The creation of the Network Development Office and its planning efforts, like the Processing Services' conscientious attempts to accommodate widespread concerns over AACR II, attest to that responsiveness. Similarly, the Council on Library Resources' solicitation of over \$5 million, an impressive achievement to which the library community may not have given due recognition, and the Council's use of those funds to coordinate varied contributions to the national network's development, have placed us all in its debt. As this herculean undertaking advances, I hope that all of our individual library organizations exhibit as much far-sightedness and community spirit as these two pioneers in the effort have displayed.

Both speakers this morning touched on the question of AACR 2. While we all hope that there will be a number of positive implications for research libraries in the new code's adoption, the implication most on our minds is its financial impact. In these perilous times, with increasing costs on all sides, I think all of us have a certain empathy with Senator Dirksen when he said "a billion here, a billion there, and after a while, you're talking about some real money." Unfortunately, in this case, it is far from clear how much money we are talking about. Perhaps that will become more measurable after some of the King Research studies are completed. At the moment, several of the issues with the greatest cost implications are still unresolved. But even if that were not so, it would still be difficult to make any general statements about those implications, because so much depends upon the individual nature of each catalog and collection, which will be determining factors in the number and kinds of changes required to accommodate the new code. Incidentally, these same characteristics will unquestionably enter into any local decision on closing the catalog as well.

One generalization may be valid, however: the costs of AACR 2 will be greatest during the transitional period. As everyone has learned in this new era of the library network, the investment often precedes the dividend by a tryingly long period of time. Once the code has become well-established and the necessary attendant files, like an authority control, have come into existence, the costs should decline perceptibly.

Networks have provided increased efficiency in cataloging in recent years. Now, with the new code, there will be a temporary loss of efficiency, but, ultimately, there may be a dramatic improvement in cataloging productivity, a saving which then can contribute to lowering costs or enhancing services. Obviously, the realization of these benefits will require careful planning and informed administrative initiative. One of the major challenges for library administrators implied in the technological development and national planning described earlier is that of being sufficiently informed at all times about both the national scene and local operations, to deploy resources effectively as conditions change.

The adjustment that we face is not simply the adoption of AACR 2 but the acceptance of "national level of bibliographic records" for the national data base as well. These specifications, so ably executed by Helen Schmierer, hold the promise of leading to a truly national standard for cataloging. Their mutual acceptance by the 85 participating libraries, after the Library of Congress-Association of Research Libraries meeting last winter, may well become a milestone in the profession's history. The path is at long last clear to a real program of cooperative cataloging. Two words of caution concerning NLBR are in order. First, we should not associate its implementation too closely in our thinking with the adoption of AACR 2, which is temporary and will be superseded in time, no doubt, by another code. Second, the requirements of NLBR apply only to data that is placed into the national data base. At this point, the libraries with this responsibility, whether a select few or all libraries, have not been designated. In any case, any library with in-house records which do not meet the standards is free to choose whether to upgrade those records or simply to refrain from placing them into the data base.

The Library of Congress' commissioning of these standards, and its negotiations with the whole community on their adoption, signals LC's recognition of a new era, as does its whole networking effort. While LC will still be the principal contributor of bibliographic data, it no longer remains the sole source of bibliographic records to the degree it has been in the past. The burden of creating them must become more widely borne. Those libraries which join in this effort, especially the centers of responsibility with special subject area commitments, will assume a new posture and new responsibilities. This shift in responsibility will amount to a surrender by LC of some control over national bibliographic data and the assumption of some degree of that control by individual libraries. It is but one example of the re-allocation of responsibility and control (and of the fading of past lines of organizational identity) which could easily prove to be the single most important implication of these plans for research libraries.

All we have heard this morning has described a smaller, more interdependent world, in which a rational library network could become a reality. Life in that world will bring some loss of autonomy to all, from the Library of Congress and the

bibliographic utilities to the individual libraries. We should approach this prospect with as much statesmanship as we can muster. We cannot have it both ways. Either we will create the standardization that will make a national network possible by submitting to the discipline required, or we will not reap the benefits of such a network.

Those benefits, as we all know, can be real indeed. The other speakers have mentioned sharing the burdens of cataloging, collection development, interlibrary lending, and, by no means the least consideration, costs of development and operation. As difficult as the period ahead now seems to be, it is most fortunate that the technological capabilities becoming available to us coincided with the current economic necessity for sharing efforts and resources. But there will be additional local benefits as well. There will be new services such as more rapid and more comprehensive cataloging, new records never available before, and the basis for creating local networks to improve sharing on a more focused level, to name but a few of the gains possible.

One vast area awaiting exploration is the greater involvement of the commercial sector, and here one must refer to the several stimulating ideas on that topic in the Technical Development Plan for a National Periodicals Center developed by Lee Jones. There is a growing feeling among librarians that the publishing industry is capable of creating a substantial amount of bibliographic information, which could significantly advance the cause of the national network if we could integrate it properly into the flow of other bibliographic data. There are, of course, severe problems of economic competition among the members of this sector, but it does seem reasonable that we, as the principal consumers of their products, might urge a greater degree of standardization in their bibliographic descriptions. The inducements for such an effort are particularly compelling in the bibliographic control of microforms, and, fortunately, both librarians and publishers are beginning to work on that problem.

In the near future, a fairly radical change may have to occur in our funding patterns. Cooperative entities, like networks, may well have to be funded separately, even on occasion at the expense of individual libraries. Current regulations governing grants and legislative appropriations that prohibit allocations to such organizations, cooperation among different types of libraries, or the crossing of political boundaries, will have to be reconsidered if they obstruct network development. Similarly, library managers will have to weigh the investment of their resources in extramural services, like the National Periodicals Center or the interlibrary lending mode of a network, against the acquisition of materials for their own collections. In short, a national network will introduce a new dimension into American library service of such proportion that it may produce changes not just of scale, but of kind, and it will take all our imagination and foresight to perceive all the implications as they unfold.

It seems to be quite likely that we will have to develop new methods of measuring quality. Some of you have already begun stressing to your campus communities that your library cannot meet all their needs locally and that your responsibility is to bring them into contact with the information they require, regardless of its location. It could easily follow that the new standard for quality in libraries will relate more to services than to holdings. However, one aspect of

this shift in emphasis must be faced: in all likelihood, there will be a certain loss of access in this new environment. While it is true that American scholars have been more fortunate than most in their ready access to materials—it has always seemed to me that the building of research collections by our predecessors in the first half of this century is one of the great untold stories of American scholarship—they must now be made to understand that the more comprehensive resources that will be available to them will necessarily entail some delays in their receiving remotely located materials. We, on the other hand, had better begin to think as much about delivery systems as we are thinking about communications systems. There is a distinct possibility that we are going to create, unnecessarily, expectations that we cannot meet, unless we do something to close the gap between communication time and delivery time. It is a problem not unlike the one Lee Jones described earlier in regard to the delivery of cataloging copy which we ourselves are presently experiencing.

This potential difficulty is only one of many pressures which library managers may experience as a result of the creation of a national network. Increasingly, we will have to explain and perhaps defend decisions which we ourselves have not made. As we all know from daily operations, one highly interested and vocal constituency will be the library staffs who will face these changes. Most of us, I think, have already begun to get the staff involved in planning for the necessary adjustments. It is vitally important that this planning effort include public service as well as technical service staff and that those elements of the staff whose lives will not be directly affected understand what changes are contemplated, preferably through instruction from their fellow staff members who are participating in the planning.

Beyond the staff lies the public. Guiding them through these transitions may test our pedagogical and persuasive talents to the utmost. Some elements of the academic community are certain to question any diversion of resources from local acquisitions to networking operations. Virtually all will find it difficult to understand why funds should be sunk into the adoption of a new cataloging code. Some will simply resist the use of machines, Luddite-like, in so humane a pursuit as reading and research and will point out any failure in the system with vehement glee. (These meetings in the future could well open with the prayer, "From any down time, dear Lord deliver us.") Others, understandably, will object to having to look in more than one catalog for locations, and we all can hope that we will be liberated from that burden in due course. But it is to be hoped that most of them will come in time to tolerate the new paraphernalia and to appreciate the vast resources that these exotic contraptions will lay before their eyes, if not at their feet. If, in fact, member libraries of one utility have access to the data of other utilities in a truly national network, library users in this country will have an unprecedented amount of bibliographic information available to them, wherever they happen to be.

It seems almost inevitable that there will be some organizational changes resulting from these national developments. One fairly self-evident innovation is that much more decentralized service will at least be possible. It is difficult to describe with any precision what the impact on organizational structure will be of placing what is, in effect, a catalog in every academic department office or of the

potential dispersal of technical services staff all over the campus, but it is relatively safe to say that there will be one. In all probability, the distinction between public services and technical services will diminish somewhat, and new organizational structures may have to be devised to fit that change. At one point, librarians fairly widely held the view that networks would permit a massive migration of staff from technical to public services, or out the front door. Now that seems less likely, but it is apparent that public services staff will perform fewer technical service functions. Most of this work will become unnecessary when the fully automated technical service system exists, and I am prepared to believe that all of us would be startled to discover how much technical service work goes on behind public service desks in the form of various files, indexes, and analytical catalogs.

Much of what has been said this morning—the interfacing of utilities with each other and with networks, the sharing of resources and information, the shifting of the focus in funding, the de-emphasis on types of libraries and the like—may cause a ripple of identity crises in all our organizations. Somehow we must devise a means of retaining those identities without becoming obstructive. It is extremely important, for example, that the ARL membership be sensitive to the issues in bibliographic control and national network planning, keep themselves well-informed, and create an instrument which can make ARL positions heard in that planning. I have no suggestion as to what form that instrument should take, but, having brought the subject up, I feel obligated to make a few tentative suggestions. The first thing that occurs to me is that perhaps we should re-format our semi-annual meeting to allow broader participation. I am thinking of something like assigning the entire membership on a long-term basis to various working groups who could spend the first night of the meeting studying some specific aspect of the national planning effort in depth, carrying the kind of thing we did last night one step further, with preparatory documentation distributed before the meeting. If these groups could then report to the total membership during the following day's program and the membership could debate the issues, we could come closer to having an informed and tenable position on the issues. Moreover, I think it would be helpful if the Newsletter began a regular report to membership on any advances in national planning since the last meeting with some comment from experts within or without the Association on the implications of those changes for research libraries. These thoughts, I grant you, are off the top of my head and are blatantly superficial, but I would strongly recommend that we study the possibility of turning these meetings into something more like working sessions. I have a distinct feeling that we are going to need them.

In any event, I think it is apparent from our experience with AACR 2 this past year that we need some means of articulating the concerns and needs of research libraries before the national discussion of planning has advanced to the point where such an intrusion would be disruptive. Clearly, the capability will require this membership to stay in close touch with the planning activities of LC, CLR, NCLIS, and others, as we have attempted to do here this morning and tomorrow. And to take one issue that has emerged at this session, we should begin to consider, without complicating anyone else's plans, the question of governance of the national network, so that when it surfaces for serious consideration, we will have already made ourselves familiar with the problems and potentialities. Plainly, there are many other such issues facing us and plenty of work to do.

Let me take a brief moment to review what one creature of this Association, the Task Force on Bibliographic Control, has done to keep you abreast of the national discussion of bibliographic control. Under the able leadership of Joe Treyz, who regrettably is having to step down as chairman of the group, and with valuable contributions from its membership—Susan Bryntesen, Joe Howard, and Ake Koel—the Task Force has held long discussions over the past year in an effort to help prepare you for the changes ahead. It requested that the Library of Congress hold the meetings at Midwinter on NLBR that led to a subsequent survey of reactions to the document, establishing its acceptance. These same discussions gave rise to the program with King Research on the various options on the future catalog, and presumably the results of that experience will be instructive to all of us. As you know, 60 libraries have agreed to participate, so that the program is proceeding. The Task Force would now like to ask you to be alert to the pilot project for putting data into the national data base. A small, selected group of libraries will be asked to participate, but we would hope that the entire membership would study the program carefully when it is ready and that individual libraries, after assessing whether their collections could be particularly useful to the project, would inform the Library of Congress or The Task Force on Bibliographic Control of their interest. In sum, the Task Force recommends that ARL lend its full support to this national effort and that individual member libraries contribute whenever possible to it.

ARL is not alone in lacking the proper mechanism for response to new issues and planning. Throughout the discussion here and elsewhere, the call for a proper forum for the entire profession recurs. As representatives of the nation's largest libraries, perhaps we could make our greatest contribution by having our own studied position on such issues and by encouraging the profession to create such a forum or forums specifically for the consideration of this type of issue. We, both as members of ARL and as members of the profession, will be confronting complicated and far-reaching decisions in the years immediately ahead, and we need to be able to make informed and thoughtful responses that represent the prevailing opinion within the Association. In that response, incidentally, though it seems almost unfashionable to say it, I hope we keep service to scholarship and information for the citizenry uppermost in our thinking. These goals, after all, are the justification which we present for public support, and it seems only just that they should be our guiding principles as well.

In conclusion, I fear that much of this presentation has been a catalog of problems and anxieties. This is not, I believe, what our future primarily holds. I have laid less stress on the positive implications of this planning effort for research libraries, on the assumption that most, if not all of us, recognize the irresistible need to move in the direction outlined for us this morning. Worse, I am fully aware that I have not responded to many points raised in the two excellent, comprehensive papers presented to you earlier. My own background is in British history, and as I reviewed the results of this modest effort, I was reminded of a quotation from Winston Churchill and was left with the hope that you would react as he did once in different context. In the 1920's, he was told that Calvin Coolidge, when asked why he insisted on collecting war debts from Britain in the midst of a deep depression, had replied, "Well, they hired the money, didn't they?" "True," said Sir Winston, "but hardly exhaustive."

DISCUSSION

MR. DOUGHERTY (Michigan): Frank, I am ungrateful that you did not ask me to synthesize these three papers but to act instead only as a traffic manager. I cannot remember a program where three papers were delivered with so much substance. If you will let me digress for one moment, not to editorialize, but to pick up on something that Jim said: "Was that NLBR that you were using an acronym?"

MR. GOVAN: No, I wanted to say the National Labor Relations Board, of course.

MR. DOUGHERTY: When I arrived at Michigan with lots of enthusiasm, I had the opportunity to make a presentation to what is called the "Executive Office" on campus. They wanted to know what we were going to do with automation. What they did not know at the time, I did not know either, but I made a presentation full of initialisms and acronyms, just peppered with NAC, ARL, OCLC, WLN, NLBR, LC, NDO, NAC, MARC, and NPC. I was just getting started at Michigan. They listened politely and excused me, but I did not get any money. About a month ago, I made another attempt. The entire presentation included only three initialisms, but lots of cliches, and son of a gun if I didn't get some money. There must be a lesson there somewhere.

So with that, if there is not any immediate question, I could start off with one. Two speakers mentioned AACR 2 — and I do not really want to raise that spectre again — but I wondered if either of the directors of the utilities could comment on what they believe will be the costs of making it possible for us to adopt AACR 2. Is that going to have any direct implications for our budgets? If they are not willing to volunteer, is anyone else? I have never known either of those two individuals to be shy.

MR. SHAW (RLIN): Insofar as we can tell with our member institutions, we should be able to move into AACR 2 in the data base environment without undue cost. I think one of the speakers mentioned that, after the transition, we may see efficiency, and I think that is quite possible. I truly think that an authority controlled data base will allow significant efficiencies in machine resource utilization, which should transfer itself into costs, and I think that will come. The major cost factors will arise with the central utilities adapting themselves to AACR 2 and passing those costs along to the individual institutions. Our members are looking at their individual costs now. They have to respond to what we tell them centrally, and it is an iterative process at the moment, as some of our directors know. Fred, do you want to add?

MR. KILGOUR (OCLC, Inc.): I intend to do the principal adding tomorrow. There are two costs: First, the one-time costs, which probably will not have a great economic effect, but they sure will raise the dickens with your budget for a year or two. Then there are the continuing costs, which will have an economic effect and which we should strive to keep to an absolute minimum. Tomorrow, I

will show you the one thing that we have done and the kinds of things each institution is going to have to do, and it is amazingly complex, this effort that will go into the transition from wherever you are at the moment to AACR 2.

MR. BRAITHWAITE (UTLAS): Our view is that the costs of introducing AACR 2 are in the data rather than the system itself. There clearly is a cost to the system, but that is not the major part. From the library's point of view, the implementation depends on authority controls, because an authority system provides a bridge that will soften the costs to libraries of getting away from the problems of maintaining two separate catalogs, one with AACR 1 and one with AACR 2. We see the need for a cooperative venture to create the AACR 2 authority records so that the transition can be made with minimum costs.

MR. LEE (Western Ontario): I enjoyed all the presentations. I suppose I understood Jim's much better, and Jim, "Right on!" I was especially interested in your comments about staff participation during times of austerity. I do not want to read anything into what you said, but I got the impression you were saying, "Let's involve the people, tell them what the problems are, let them help with the planning, and do not manipulate them." Is that what you are saying? Would you elaborate?

MR. GOVAN: Well, it was covered in our group last night on closing the catalog. I presume it was mentioned in the other groups as well. There has already been an extensive involvement of staff, both public and technical services, and, in some instances, faculty. I think it is a very useful idea. I believe, as I am sure is self-evident to everyone in the room, that there will be so many cultural shocks to staff in the next five years and so many pressures on the organizational structures — as well as the administrators heading those structures — that the more participation you can allow and the more staff are aware of the far reaching implications of any decision for that given organization, the easier the transition will be and the better the results. I do not know whether that is an elaboration, but you, in a sense, said exactly what I was trying to say.

MR. DOUGHERTY: Jim, you touched on another point that the Task Force on Network Development is beginning to consider. That is the growing imbalance between bibliographic access or communication of data and our capacity to deliver. It is sort of a corollary and a three way principle. If it is easier to find out and easier to ask, then the demand for materials will increase. And it is very likely that ARL libraries will have to rethink their rationale for engaging in effective resource sharing. Do you want to elaborate?

MR. GOVAN: Again, I am not sure I can do much in the way of elaboration, but I am really concerned about this. I think, without really realizing it, we are laying the groundwork for a tremendous problem with our users, simply because they do not know as much about what the future holds as we do. I think, once again, if you put faculty members down in front of a terminal and they see this bibliography spilling out in their laps, they are going to want books. They are not interested in bibliographic products per se. We really would do ourselves a good turn by beginning to think what we can do to satisfy those expectations when they arise, because, as a profession, we are creating those expectations.

MR. MARTIN (Penn State): Since you seem to need a few comments to get things going, I will see if I can stir up some trouble. What I have been hearing resembles very closely my experience at Penn State over the last six months, while participating in "a plan for the 1980s." We have diminished possible future resources, we have diminished social support for education, including libraries, and yet we have in place structures to deliver "X" numbers of academic programs, or, in our case, "X" library or information programs, all of which we still expect to maintain with diminished support. At the same time, we are trying to be innovative, to do new things, to open up possibilities. One of the problems you have already touched on is the matter of decision making — decision making linked to information and participation. But the decisions are going to be hard ones, so I think they will have to be made by the managers. Somebody else said that we may have to begin defending things that somebody else said we will have to do. Now, that leaves us with a crucial question about the way in which our libraries develop within our institutions.

I have a second question that someone may like to comment on, although I will not state it in question form. In planning for our institution's future, we are looking at certain things which will require more uniformity. Thus, we have been talking about the likelihood that some individual initiatives may have to go by the board. I am concerned at the possibility that, by seeking to attain some national uniformity, we may very well jeopardize the achievement of some special initiative that represents innovation. Somewhere we must have flexibility in our planning to take account of "discovery," the elements that the individual or the individual group can bring to national planning. We must not foreclose on change because we are forced by certain economic or certain political considerations to close out X or Y. Now, those may not be very easy statements to handle in the form of questions, but I think they are two crucial considerations, that is, the true nature of the governmental decision-making process and the need not to foreclose on innovation because we are more concerned with general national goals than with the ways in which we can respond to somebody's rather awkward questions. It is those questions that tend to get put aside in a monolithic governmental process.

MR. DOUGHERTY: Thank you, Murray. Lee, you have given some thought to the balance between coordinated planning and the need to maintain some sort of flexibility at the local level.

MR. JONES (CLR): In my view, the flexibility needs to be built into the national system itself in a way that provides those local options for local innovation. The standards that we talk about are those characteristics which must be common in order to share data between institutions. At this point, we require that sort of standardization. Ultimately, we may not have to, but that is a long way down the line. Local innovation is indeed a characteristic of U.S. libraries, and it has been a fatal one in a number of areas, particularly local option in the production of a card catalog. There are a good many people who will suggest that local option is absolutely vital in a given subject area, and I would be the first to agree. But when you enter a circumstance in which you must share that data, there has to be some standard format in which it is shared.

MR. ATKINSON (Illinois): I might pass on something about the delivery systems that Jim is talking about. I, too, think they are absolutely essential for sharing the materials whose bibliographic identification we have already shared. I sit on a board overseeing the statewide study in which we hired the Lou Cather Company, a professional firm of consulting engineers, to design a delivery system for the whole state of Illinois. We have had to send it back at least once so far since they did not do what they were told to do, even for \$40,000. I pointed out that a state like Illinois may be the upper limit in size in which you can run a reasonable delivery system. The state is 410 miles long, and that may already be too long, because it looks as though size has a lot to do with the possibility of success, just the sheer number of miles traveled. Secondly, with the four ARL libraries in Illinois, which account for perhaps five percent of the total institutions, it looks as though it would probably cost almost as much to run a delivery system for the four of us as it would to run a system for the whole state -- maybe two-thirds of the price, given that there are two ARL institutions in Chicago, one half-way down the state, and one in the southern part of the state. It looks like it will have to be more than an ARL problem.

In a state like Illinois, we cannot hope, even at a price of around \$120,000 a year, to build a system that will do better than a 48-hour turn around time. If you want to have it faster, you either have to be smaller or pay a lot more. The traditional things we have depended upon, UPS, the mail, and the like, have already built in so many restrictions on what they carry that significant increases in volume, the kind which we are talking about generating with this system, probably will bar them from being the vendors that you can use. UPS has developed a whole series of rules saying "no more than 13 packages, no more than such and such a size...", so that we probably will not be able to depend on UPS for the long term future. The expense of such things as federal package service and some of the air delivery ones, the fanciest, are really high. So, we are still trying to create a system that will connect the 18 public library systems, the 13 state assisted institutions, the state library, and the four reference and research centers that are funded through the Illinois network. Now, all of that, as I say, for 48 hours of turn-around time may cost around \$125,000 a year to operate.

Also, given the number of different interests, it seems as though the delivery system will have to be built through either a statewide agency, such as the Board of Higher Education, or the State Library. I do not think you can depend upon voluntary associations, such as the state associations or the even smaller networks, to run them efficiently.

Those are the things we have learned so far. The total Illinois traffic is now running at about 140,000 pieces a year. Illinois is not unique in having the problem that the demography of the institutions does not match the geography of the state. That is true of a lot of states. California has to use three systems at least, I think. The best and cheapest systems seem to work in circles whose radius is 120 miles or less, something like that. With that, I will be happy to answer any other questions. We are just getting started so far.

MR. DE GENNARO (Pennsylvania): I just wanted to comment on Hugh's comments about a delivery service. In Pennsylvania, we have an interlibrary

delivery service that has been operating for, oh, two, three, or four years now. It is amazingly effective across the state of Pennsylvania and at very reasonable cost. It is a kind of voluntary creature of the libraries there. It just has a series of trucks running around, and it is not a big deal. I do not quite understand what the big problem is on delivery service.

MR. MARTIN: Can I add a footnote? If you are at the wrong end of the cycle in Pennsylvania's system, it is slower than using the mail or UPS. This is to reinforce what Hugh said. When we are talking about different kinds of systems, whether it is delivery, bibliographic sharing, interlibrary loan, we are talking very clearly about different sorts of physical shared networks. This is a very necessary concern in all our planning. There has been too much emphasis on the wonderful things which a Lending Library Division does. Let me remind you that the British system is serving an area smaller than Pennsylvania, with a population larger than the whole northeast, with a transportation system that is geared to different things. So we are really talking about melding a whole series of services when we are talking about this country, some of which are appropriate to very clearly defined, small networks. One of the big problems is linking these things yet remaining effective. There is no use whatever in sharing millions and millions of bibliographic records if nobody can get at what they represent. Now you do this is going to be a very sticky thing, given the difficulty with inter-jurisdictional activities. We have this very problem in Pittsburgh with the Wheeldon Library Center, because it spills over the state, and we cannot have, by law, any interstate compact in Pennsylvania. That is a problem.

MR. AVRAH: I just wanted to add that I certainly agree with Jim. The availability of bibliographic information is only as good as your ability to deliver the document behind it. But delivering the document behind it is dependent upon the location system that I mentioned. It has been suggested that ARL pick up on this responsibility to look at what a location system should be. What is happening nationally, in the separate networks, in the utilities, and also in the delivery systems, is that location data is being put into machine readable form in a variety of ways. If you get out of your area and you want to request an item that is in another area, how do you go about finding it? I do not think we want to develop a system that permits this to happen. A location data base or a method of crossing the different small areas is very, very important.

MR. DOUGHERTY: A few years ago when Bill Walsh talked about closing the card catalog, we did not really react as an association. I just had a gut-level reaction on this question of resource sharing. Some of the points raised this morning make it mandatory that this be one of the areas that we, as an association, pay a great deal of time and attention to during the next three years.

MR. KIDMAN (Southern California): It seems to me that we are missing one of the big points as far as delivery is concerned. I once made the comment that we were going to send messages at the speed of light and deliver it at the speed of pony express. But, if you actually look where the problems in delivery are, it is not the mechanical delivery system that is at fault. It is the internal operations in our own library. We have a receiving module, we have a retrieval module, we have a photocopy module. Each one has a backlog of at least a day. By the time you get

through the whole process, you have built in seven or eight days of delay before you can even get to the delivery system, whatever that is.

MR. GOVANI: The point that Hugh made touches on another point I was trying to make. I think the time has come when we ought to begin pushing very hard to break down these political boundaries. We seem to think in terms of states, and that really has nothing to do with what we are about. By the same token, I wonder if we also should not be urging some sort of application of electronic communication to delivery. I realize that is sort of "blue-skying" it, but I think the day is going to come when we need to match the speed of delivery with the speed of communication. It does not seem to me that that should be beyond the realm of possibility.

MR. DOUGHERTY: One final point that Harriette touched upon and then continued. There is a new technology, if I understand it correctly, that can have an even greater impact upon libraries and the way we do business than the computer itself. That is optical imagery. I would ask Harriette if she might elaborate just a little bit. I do not know how familiar everyone is with it.

MR. AYRAW: The technology is not far away. In fact, the technology is really here. Once we can capture and store documents in image form, we can capture catalogue cards, we can capture a page of a book, or anything else you want to think about. These images can be transmitted via telecommunications, they can be displayed in hard copy, and they can be displayed on high-resolution terminals. In order to access these images, it is necessary to get the access points into machine readable form. But that is also possible, and the two displays can be displayed together. In other words, if you had, for example, locations in machine readable form and a document in image form, these could be displayed together in the high resolution display. Now, what all this means for the copyright problem and everything else is a whole different story, but the technology is with us. We can deliver documents using high speed methods today.

MR. DOUGHERTY: We almost made it through one whole session without the word "copyright" mentioned.

MR. AYRAW: Sorry.

MR. CRISAW: We thank our program participants and also the rest of you for your participation here.

(This ended the first program session.)

THE WASHINGTON LIBRARY NETWORK

Gary E. Strong

Washington State Library

MR. GRISHAM: Utilities are indeed important to us. To understand what they see as their role in NPBC, that's National Planning for Bibliographic Control, we have invited representatives from four of the utilities, and we begin our program this morning with the representative from the Washington Library Network.

Rod Swartz is not here. The fellow we do have looks a little like Rod, I agree, but Rod sends his regrets because of pressures back home. He sent Gary Strong, Associate Director for Services at the Washington State Library in his stead. Gary holds degrees from Idaho and Michigan. He is currently president of the Pacific Northwest Library Association and will ably represent WLN when I sit down. Then we will move immediately to OCLC, Inc., in the person of Frederick Kilgour. We know of Fred's Harvard and Yale connections and of his 12 years at OCLC, where his contribution to the library world has been significant indeed. In fact, I think there is hardly a person in our profession who has not been affected somehow by his ingenuity. He continues on, and, Fred, you may be right, we may have that on-line catalog before you retire. It occurs to me that the best way to present these people would be to have 100 introductions, so I would like each of you in the audience to characterize these men in your own mind as I present them to you. You may characterize at this moment Fred Kilgour. I will give you just a moment to fix on him, and then we will declare him properly introduced. We will move down the table that way. Fred, you are properly introduced a hundred different ways.

We will then move on to Edward Shaw, representing the Research Libraries Information Network. He is President of the Research Libraries Group and Executive Director of RLIN. He is also Associate Provost at Stanford University, where his responsibilities extend to computing, budgeting, and related activities. He is also, as we know, very much interested in the management of large research universities and in the interinstitutional environment for libraries. We may at this time then fix or characterize in our own minds one Ed Shaw. I give you just a moment. Ed Shaw, you are now properly presented.

From the University of Toronto Library Automation System, we have Robin Braithwaite. Everet Minett sends his regrets also. We are fortunate to have Robin. He has a degree from Cambridge University, and his background includes work as a quality control engineer. He has worked in computer management, and five years ago, he joined the University of Toronto system as Systems Manager. He was appointed Assistant Director for Network Services three years ago. Robin, will you permit us the pleasure of characterizing you. We will declare you properly presented.

There is one more, and I hardly know how to handle this one.

MR. DOUGHERTY: Spare me.

MR. GRISHAM: But we might have the most fun with this one. I give you just a moment to characterize Richard Dougherty. You are so declared presented and we welcome you, Dick. Dick will moderate our discussion session after the coffee break.

To begin this morning, we welcome again Gary Strong. You are first up, Gary. I think that is quite a challenge in itself.

MR. STRONG: Thank you very much. It is a pleasure to be here. I bring you greetings from Rod, who is working between the local State Library Association that is meeting at the same time today and between the library and our governor and the legislature, who are attempting to decide what our state budget is going to be. In Washington this year, it has been fascinating to watch the budget development, because, in our House of Representatives, we have an exact 49-49 split between the Republicans and Democrats. Very little can be agreed upon at the moment, so we watch very carefully.

As I said, it is a pleasure to be here and to have the opportunity to talk briefly with you about the Washington Library Network.

The Washington Library Network, in its enacting legislation, is defined as "an organization of autonomous, geographically dispersed participants" using the Network components:

- a. Interlibrary lending system
- b. Reference/Referral system
- c. Telecommunications system
- d. Computer system

Responsibility for the Network is placed with the Washington State Library Commission, except for certain data processing functions. The State Librarian is identified as Executive Officer of the Network. Individual libraries are assured in the legislation of retaining authority for their own collection development and use and of voluntary membership in the Network. The purpose of the Network includes the sharing of information and resources to meet the needs of libraries and their present and potential users.

It is the policy of the Washington Library Network to directly serve the libraries of the Pacific Northwest and to provide a transportable system for operation on computers elsewhere. WLN is viewed as a regional network, providing operational services to libraries in Alaska, Idaho, Montana, and Oregon, as well as Washington State.

Libraries in these states have a long standing tradition of working together. With the establishment of the Pacific Northwest Bibliographic Center in 1940, forty-four libraries in the Pacific Northwest began contributing to a union catalog

which contains more than 3,700,000 main entry cards with more than 9,000,000 holdings locations. This early effort in regional library networking provided the foundation to move toward the development of an integrated machine-readable data base within the Pacific Northwest.

WLN does not intend to provide an extensive, nor permanent, nationwide service from its computer facilities. However, the design and philosophy of the WLN computer system is particularly well suited to installation in computers in other regions. WLN will provide direct service on a long-term, continuing basis to libraries in the Pacific Northwest that desire such service and will maintain on-line links with all other installations of the WLN software.

WLN does possess a system of software which is transportable to other regions. Because the programs use standard software packages, replication is easier. WLN is presently installing the system at the National Library of Australia in Canberra. A major consideration in such replication is the continued sharing of data bases, system developments, and enhancements.

As of May 1979, 48 library systems were using WLN via 120 terminals. Of the participants, 29 were academic libraries, three were state libraries, and 16 were public library systems, comprising 120 individual libraries. Each member library is responsible for adding current cataloging (including local input) and holdings records.

It has been the philosophy of WLN from its inception to provide full network services to its membership. Its design, therefore, embodies that philosophy. The data base presently consists of nine on-line files in the integrated bibliographic and acquisitions subsystems. The on-line authority file contains over 1,800,000 records with cross-references for names, subjects, series, and uniform titles used in the bibliographic records. Careful quality control ensures that all headings entering the data base conform to current Library of Congress standards, as reflected in the MARC tapes. All local cataloging is reviewed by staff at the network level to ensure that it agrees with current LC practice. As a result, the data base is nearly free from variant forms of headings, except as cross-references, and from substandard cataloging. Because of the authority control, the system has the capability of serving as an on-line catalog. This makes searching the data base and utilizing information very quick and reliable.

The file structure of WLN is designed for efficient searching. Authority records are linked to bibliographic records, which contain links to appropriate records in the holdings, working, waiting, in-process, and standing order files. It is not necessary to re-key a command in order to search other files, e.g., the holdings file can be searched on the basis of results from a search in the bibliographic file.

The authority, bibliographic, and holdings files combine to support the union catalog function. Discrete cataloging records are shared by all participants without duplication of bibliographic or authority information. Holdings statements contain call numbers and NUC symbols for each library. This supplement to the on-line holdings files is called the WLN Resource Directory. A COM catalog of the entire holdings file with related bibliographic and authority data, it provides many participants a primary searching tool in their branch libraries. Presently, 150 library systems are subscribing to more than 350 copies of the Directory.

The system has the capability of supporting a number of "collections" in the bibliographic subsystem. A collection in WLN is defined as an authority group or a group of libraries that use and share in the maintenance of the same name, subject, and series authority files. Collection level information, relative to bibliographic records, includes the choice and form of main, added, subject, and series entries and related cross-references. A second collection will be brought up in the next few months, to allow the submission of retrospective records which will not come under full authority control but will meet standards set by the Bibliographic Standards Committee.

With the implementation of AACR 2, WLN will be able to conform with the standards set forth. Appropriate "see" cross-references and notes will be entered as needed. Thus, a linkage between the form in which a heading had previously been established (e.g. ALA CODE) and the presently authorized form (e.g. AACR CODE) will be maintained by cross-references and notes in the authority file. Likewise, as new standards have been adopted and put into practice, WLN participants have included them into their practice. For example, as ISBD-M has come into use, the computer system was able to process the tapes and distribute products that were faithful to the new standards.

In terms of other subsystems of the network, the circulation subsystem is presently beyond the pilot phase and ready for implementation in other library settings. The network contracted with the Tocomo Public Library to develop an on-line circulation subsystem with interface to the network data base. The detailed holdings system is in its first phases. The Interlibrary lending module is in design, and serials check-in will be down the road. Serials records, film records, and other records — short of the music format — are integrated and in the same data base with monographs.

A brief mention of the governance of the network may be helpful. Participation in governance begins at the library service area level for Washington Libraries. With the state divided into seven geographic areas, libraries participate at this local level in planning for cooperative use and implementation of network services. Each area elects six delegates-at-large to the Representative Assembly. Each on-line participant sends an additional delegate. The Representative Assembly elects an eleven-member Executive Council, which meets frequently to develop policy recommendations, evaluate network services, etc. Steps are now underway to amend the Administrative Code under which the Network operates to provide for multi-state participation in governance and to separate the resource-sharing components of the Network from the computer system.

I hope this background provides a bit of insight into the philosophy of WLN and its role in national bibliographic control efforts. With a strong commitment to providing regional network services coupled with the recognition of activities at the national level, WLN stands ready to participate and to contribute where appropriate. Past efforts, for example, the fact that the Washington State Library was the single largest contributor to the COMARC project, are examples of the willingness of librarians in the Pacific Northwest to participate in the national program efforts. The recent agreement with the Research Libraries Group

exemplifies this continuing role. WLN and RLG believe that, by cooperating with one another in a variety of areas, they can enhance their individual capacities to serve the program requirements of their member libraries. Both organizations are program based, that is, their goals and objectives include bibliographic utility and technical processing support but also extend to active management of collection development and shared access programs. Both organizations believe that a program integration of a regional network and a national network offers advantages to their member libraries. The creation of joint programs in an era of limited developmental resources can work to our mutual advantage.

Three areas of active exploration have been agreed upon:

1. Functional and systems specification
2. Sharing of Data Bases
3. Software and Data Base Exportation

This program is viewed by both as the establishment of a cooperative program relationship between the Research Libraries Group and the Washington Library Network, falling within the scope of the Bibliographic Service Development Program of the Council on Library Resources.

The challenge for networks such as WLN, and I believe the national effort as well, is to find solutions which recognize the complex needs of the nation's research libraries and yet provide services for all of the participants from a broad base of libraries. We must have systems which allow the research library to meet its local and regional responsibilities, and at the same time allow for participation nationally. WLN feels that this approach can contribute significantly toward the national bibliographic network. The range of "ideal results" of the BSDP echo those of the early planners of the Washington Library Network. Distances are so great in the Northwest, and resources so scattered, that we must move ahead to better deliver the information and services needed by library users. I believe that it will take all of the skills, innovation, and imagination available to harness this vast explosion of information. There is a great deal to be done and too few people and resources. We must move to support the efforts at the national level which allow us to progress.

OCLC, INC.

Frederick G. Kilgour

OCLC, Inc.

MR. KILGOUR: It is a pleasure to be back with you from one shore to the other. The last time I discussed items with you was in Seattle.

Every time somebody like Frank involves me in bibliographic control, I think of one more glossary to look in to find a possible definition of it. I did on this occasion, too. A new one had occurred to me this time, but it was not there. Sometimes when I am feeling particularly nasty, I start demanding of somebody what he or she means by bibliographic control. "You know, just what is your concept of this bibliographic control kind of stuff."

So I decided that I am not going to try to define it. What I am going to do in 20 minutes, and I do not think you could expect much more in 20 minutes, is to give you part of a purpose for bibliographic control and also one goal. This is not a complete statement of purpose nor a statement of all the goals, but it is at least 20 minutes' worth.

I would say that one purpose, or part of the purpose, of national bibliographic control has to be to promote continuous improvement in the availability of information to library patrons. This seems to me absolutely fundamental. However you define bibliographic control, this has got to be a large part of its purpose. I am going to elaborate on this one goal, although later on you will see that I dip into another. But the one I will concentrate on for the next few minutes is that "information should be made available to patrons when and where they need it." So here is a purpose and an individual goal to strive for.

Now, let me talk a little bit about the continuous improvement in the availability of information. I am not talking just about books and journals. I would like to suggest, as some librarians are currently doing, that librarians take a greater responsibility for the information that they provide to their patrons. Rather than give them unprocessed information in books and journals, perhaps we ought to pre-process the information and make it available. I think the public librarians are doing this. They got a head start here with their help hot lines, in which you can get medical information and information that will enable you to interpret what you ought to do about yourselves, so to speak. This is "responsible information," because the librarian is responsible for it. Traditionally we have not done this, but it is abundantly clear in some libraries that the patrons want pre-processed information. They do not want to spend the time using the books and journals to get the same thing.

I would also like to suggest that text information be made available when and where it is needed. There are texts that are limited, and perhaps we should start with those. I will suggest one for research librarians, and that is papyrus. Papyri do not increase in size very rapidly; they are practically a fixed corpus.

Converting them to machine-readable form would enormously facilitate the work of papyrologists at the present time. There are other corpuses of information that are similar, that do not grow very rapidly, and that we should consider converting. I am not suggesting this for biochemistry or for biochemists, but certainly for papyrologists, and there are other self-limited corpuses of information, of which encyclopedias are an example. Encyclopedias are now in machine readable form — as perhaps you know — not primarily to be made available in digital form, but rather as a technique for reproducing the encyclopedia, for keeping it up to date, for making certain that only seven-and-a-half percent of the pages have political history in them or whatever the design is. This is an enormously difficult design to invoke manually, but relatively easily done with a computer. So this information is available in machine-readable form.

Of course, there is also what we are most accustomed to, namely, cataloging and indexing information. Here I would emphasize again the differences between a catalog and a bibliography, which I do not have to emphasize before you, but which I want to emphasize to let you know that I, too, know what the difference is. A catalog is essentially a bibliography, but the catalog tells you where you can get a specific copy of a book, where its located. A union catalog will tell you what institution it is in, while a local catalog will tell you what shelf in a library the item is located upon. I would also like to point out that, in classical librarianship, we have a variety of catalogs, but we do not call them all catalogs. We call them "files". We refer to the "circulation file", but the circulation file is just as much part of the catalog as is the thing on the 75 by 125 millimeter cards, because it tells where the book is located. It is a supplement to the basic catalog. The in-process file does the same thing. I am suggesting that this is cataloging information that should be integrated with what we classically think of as being a "catalog", to keep the patron informed of the location of materials.

In classical bibliography, it is rather like scholastic principles from which you deduce certain results, and some of those results leave out information that a patron has when he is looking for an item. I would suggest that the most prominent area here is in scientific and medical journals, where most of them are referred to in the scholarly literature by abbreviations. Librarians make relatively little use of those abbreviations, because abbreviations do not coincide in any way with the classical concepts of bibliography. I would suggest that these ought to be included in the access points in an overall bibliographic control concept. Also, one thing that we have not done and which I think we should have done long ago, is to study the footnotes and the footnote rules of various scholarly disciplines, to make sure that our accesses match the accesses the user has when he gets his references and approaches the library. I think most of you will react immediately that those accesses could be somewhat simplified, and I think that is probably the case. I will refer to this a little later when I talk about our goal. Now I am going to change to a different subject, one which, if I may coin a phrase, hardly needs any introduction. That is AACR 2.

How do you match AACR 2 with the purpose and goal that I have just stated? How do you do this in making your choice of options in AACR 2? There are certainly upwards of 35 major options in which a choice has to be made. Here I am going to drag in another little goal. That is the goal of diminishing the rate of rise of per unit cost, which I think also has to be a goal of a national bibliographic

control concept. Here I think that the options are going to be chosen from the viewpoint of cost more than they are chosen from the viewpoint of how they are going to improve "availability", the other goal that I just have mentioned.

I also thought you might be amused to see what one has to do in making a shift to AACR 2. I have here what we consider a milestone chart (see Appendix A), which shows what we are using at OCLC to invoke AACR 2. Now, admittedly much of the chart, a third of it at least, would not be in the kind of chart that an individual library would draw, because it includes the machine conversion of the records in the OCLC data base to AACR 2. But, if you dropped about a third of the boxes out, you would have a chart that is essentially the kind of chart that a library has to use.

At the very end (at the right) is December 31, 1980. We are converting this to a PERC chart and putting the times in, and you go from right to left in that kind of situation. We only hope we do not wind up in 1977 or 1978 when we get to the left-hand end. There is a lot of work to be done there. Moreover, you will see, down in the lower left-hand side, three boxes. That middle box, when it is expanded — each one of these boxes has to be expanded — will be maybe a quarter the size of the chart there. Just to run the machine tests requires that kind of thing; likewise the rescheduling of availability of computer memory, the availability of the machine, so forth and so on has to be done a long time in advance. This is the type of thing that one has to do in invoking a major change like AACR 2. You may be able to see above the middle line a double line that goes across. The double lines on there are times of which OCLC does not have control, and these can get a little bit awkward. This is, as a matter of fact, what Lee Jones referred to yesterday when he spoke of the four organizations getting together to choose the same options, so to speak. That is not under OCLC's control. Well, so much for AACR 2, for how you test it, and how you choose the options in particular.

What about the goal of information being available when and where needed? Here, obviously, the marriage of a computer to a communication system is the system of choice.

Now, I will just mention the quite recent development of a video text research project that we have at OCLC. I want to emphasize that it is a research project. It is not in the development hopper. We are doing research on this topic, and we are currently preparing a proposal. We hope for outside support from somebody or other, in order to work with a public library rather than a research library — with the Columbus Public Library, principally because it is very highly motivated in the direction of innovation. We are working with OSU on another innovative project, and, you know, one library can take just about so much of people from OCLC moving in. This video text project will be an on-line catalog that will be available from television sets, and it will also be an encyclopedia. It will be two things, the on-line catalog and the textual material, which will be run as tests. There already have been marketing surveys done on these materials, not by us, but by others, but we are moving in the direction of making information available when and where an individual needs it — or at least enormously expanding the points at which information can be made available.

Some of you will recall that, when I last talked with you, I talked about on-line catalogs. Here I would like to suggest once again that, to give an example of how one can approach the concept, we use a systems engineering concept in approaching national bibliographic control. It seems to me that a centralized national plan for on-line local catalogs is not going to fly. This has to be done locally. We have had discussions with Carol Ishimoto and her colleagues and with Clyde Walton and his other colleagues in Colorado, to find out where to start with the design of the catalog, because here, for the first time not just in your professional lives, but in the history of librarianship, you have an opportunity to design a catalog that is no longer a linear catalog, but a linear series of entries. It is a major opportunity, and, as I said, it seems to me that this has to be done at the local level, working with patrons, working with librarians, to get the initial design under way. The great advantage is that you are not locked into concrete in the first design, so it certainly will be an evolutionary design.

Well, these are a few thoughts that I wanted to share with you as to how a computerized network looks at planning for national bibliographic control. Thank you.

THE RESEARCH LIBRARIES INFORMATION NETWORK

Edward E. Shaw

Research Libraries Group

It is a pleasure to be here. In my odd moments of insanity, I sometimes think I would like to sit in an audience and have a speaker come up and say "It really isn't a pleasure to be here." That has not happened yet, and, given the audience and the importance you have to me, I am not going to say it either, even if I believed it, which I do not.

As I listened to the presentations and heard Dick Dougherty's comment that he had seldom heard three presentations with so much content, I could see such a variety of interpretations, such a variety of thoughts and options, that it reminded me of an aphorism sometimes referred to as Siegel's law, which runs something like the following. A man with one watch knows what time it is. A man with two watches is never sure. I think you have got more than two watches on your wrist, and I think you have a lot of choices to make. I am going to add several more watches today, I suspect, and I am not going to promise you they will all show the same time.

The conference title is National Planning for Bibliographic Control. I would like to talk more about planning and implementation and less about bibliographic control. Most of you in this room understand and can grapple with that subject and its specifics much better than I. The speakers today and yesterday have great knowledge in this area, as do members of my organization, but planning and implementing how one deals with bibliographic control is a different matter.

The conceptual structuring of bibliographic control is a complex problem with which I do not think we have dealt very well. CLR's program, BSDP, which you heard about yesterday, is a major attempt to get at national planning. The Research Libraries Group, as you have heard, is a partner in that effort and is fully supportive of it. We are, as Mr. Strong indicated, working with the Washington Library Network on the question of authority control of our data bases. These data bases will be under authority control. They must be, in an inter-network connection, because our technical people have discovered that we must be in conformation on authorities in order to be in conformation on the exchange of data bases. The technical parts of this effort leading to an on-line catalog require authority control, in our judgment, and require effective authority control that can change over time.

Yesterday, I suggested that authority control can mitigate, although not eliminate, the impact of AACR 2, and our study suggests that that is, in fact, the case. I was delighted to see Fred's schedule. When I did ours, we got back to 1976 and then had to start scrunching. 1981 is coming very quickly, and you gave me some hope, Fred.

Before I go on, I want to talk a bit about the RLG structure, because the program shows me as President of the Research Library Information Network. That is not accurate, and there is every reason to understand why it should not be. The organization with which I am involved at the moment is evolving quickly, and confusion is understandable, at least as to its structure and role. I want to take a moment to explain it so that you can understand the context from which I am coming.

The Research Libraries Group is a corporate entity. I like to refer to it as a partnership. It is owned by member institutions, currently eight, although we expect more. The current eight include Columbia, Dartmouth, Michigan, Pennsylvania, Princeton, the New York Public Library, Stanford, and Yale. The ownership of the organization rests with those institutions equally. Other members, as they join, come on as equal partners in the corporation itself. We see the corporation as having two components. First is the member institutions and their staff, both librarians and professional staff from other parts of the institution, including presidents, provosts, and the chief operating officers of libraries. The second component of the organization is a central staff charged with executive leadership, development, implementation and operation. This is always based at one of the member institutions, currently Yale and Stanford.

RLG has four programs of primary importance to ARL. The first and perhaps most significant is a Shared Collection Management and Development Program, to deal with the ever-difficult problems of collection development and collection management. Our second major program deals with the access to collection materials amongst member institutions. This is based upon an interlibrary loan program which, I have discovered since I came into RLG some months ago, the original members had developed to an extraordinary degree and which we are now extending to all members of the organization. The third major program is in preservation. Preservation, I need not tell you, is a difficult problem and one that is of particular concern to major research libraries. It is of very great concern to the current members of RLG. The fourth program is bibliographic tools, bibliographic networks, the creation and use of bibliographic tools by member institutions. This is what we call RLIN, the Research Libraries Information Network. RLIN is both a means and an end. It is an end in that it provides bibliographic tools under authority control to act as on-line catalogs in member institutions. It is a means to the extent that it underpins interlibrary loan and, most particularly, shared collection development. All of the machine development modules are based on our fundamental programs of interlibrary loan and collection development.

I will turn at this point to the question of planning and implementation of a bibliographic network. I suggested earlier that conceptual structuring is a critical part of your approach to this issue. Initial premises tend to guide us in our thought processes from the day they form in our minds, and it is often hard to move out of those initial premises, if, in fact, they should be changed. As I listened yesterday and as I talked with some of you, I decided that the following interpretation of some comments yesterday might be accurate. There is a view that the national network is likely to be a monolithic entity, an economic and service entity, something into which an individual library, or perhaps a small group of libraries on

a regional basis, might, I think the word is often used, "plug into". It is thought of as an entity with which one can develop a relationship to serve individual library needs.

I do not think this is going to be the character of a national library network. I do not think it is likely. I do not think it is possible, at least in the near term. Political and economic realities prohibit such an approach, and I suspect the only way we would have such an entity is if we nationalized every of us at this table. That has not been the American way historically and it has not worked in the case of the post office. I think that we will not see nationalization.

What we are more likely to see is what the CLR program suggests, that is, a series of activities linked together at the bibliographic utility level, perhaps linked computer-to-computer, or tape-to-tape, or basket of bits-to-basket of bits. I am never quite sure how we transfer data. In such a relationship, a series of nodes would be linked to one another in a manner in which, for the foreseeable future, the whole would not be greater than the sum of the parts.

If that is a plausible picture of a national network, one of the questions we have to deal with is the character of the nodes of a national network. The Library of Congress is clearly a node. The Library of Congress also has clearly signaled that it cannot be the national network. The nodes in a national network can be organized in at least two ways: 1) geographical and 2) programmatic. I believe that both are appropriate. Both either have occurred or are likely to occur. Mr. Strong indicated that the Washington Library Network has both a programmatic and geographical network. At the national level, the Research Libraries Group is also a programatically based network of peer institutions, the goal of which is to provide an interconnection among institutions with a common denominator as high as possible. Sometimes my mention of this "high common denominator" is described as "elitist". I think not, but, if so, I am prepared to use the word, because I believe to a limited extent in elitism. It reminds me of the relationship between ARL and ALA, in the sense of special missions and special responsibilities. I think that is a better description of what RLG member institutions currently see. They have peculiar and particular problems that need to be addressed in peculiar and particular ways. I think that our organization can become an important part of the national library network, perhaps help shape it.

If RLG is part of the national network, it also mirrors the national network's problems, because RLG operates at the national level. Bibliographic control and authority control over bibliographic data bases are important and very difficult problems. We have recently discovered the difficulty of maintaining bibliographic control over a single data base, but the problems associated with that pale in comparison with the difficulty of bringing bibliographic control to distributed data bases. Nevertheless, it is clear, as we look at the way technology is evolving, that our member institutions will be involved in distributed computing and data bases at the local, regional, and national levels. In order to avoid the kinds of problems one can get into with disassociated data bases, we must bring all of these efforts into a single, controlled environment. Intellectual and technical problems involved, both from the library and computer viewpoints, are legion. "How we do it" is not clear to us yet. We know "what" we want to do and "why" we have to do it. The "how"

will come by the efforts of our members' staffs and by the efforts of individual central staff members, and it will come with a change in technology, which is before us. I think we will find, in the future, that organizations such as the ones represented on this platform will provide you with economies of scale -- not in hardware and communications but in human effort and intellect.

I have been involved in this effort some 18 months. When I got into it, I should have remembered another small law that has crossed my desk more than once. That is, "You can't tell how deep a puddle is until you step into it." I find the puddle to be fairly deep. Research libraries, as our extraordinary speaker of last evening suggested, are critical to the future of research universities in this country. Research universities, faculties and students, are critical to the scholarly process. I am committed to that latter effort, to research universities, and, over the last 18 months, I have also found myself in a very deep puddle related to research libraries. The problems of scholarly communication over the next decade boggle my imagination. They must boggle yours. They need to be dealt with and dealt with effectively if the research and scholarly process of this country is to continue in the future as well as it has in the past.

I would like to suggest at least two areas in which the kinds of things we are doing come together with some of the bibliographic control efforts you have heard about elsewhere in this program. Yesterday you heard Henriette Avram report on the image storage and optical disc technology with which the Library of Congress is involved. The Research Libraries Group is working together with the Library of Congress in the same area of technology, focused on East Asian studies. I need not tell any of you of the tremendous problems involved in the bibliographic control of Chinese, Japanese, and Korean literature. We believe the image storage technology, the optical discs being developed now in support of the Library of Congress program, can be used in support of bibliographic control of East Asian material. The Research Libraries Group will work together with the Library of Congress in this effort (as we further develop our research program) to try and store Chinese, Japanese, and Korean characters in a bibliographic data base. The interesting thing about this effort is that it is being driven by members of the faculty from two member institutions. We have before us faculty members suggesting that, through RLG, the shared development, control, and access to East Asian collections is a necessary and important part of their scholarship. When faculties start talking about sharing between institutions, we have taken a big step forward.

Finally, I would like to talk about another delicate balance we have discovered as we have moved forward in the planning process. One of the things we must deal with is nationalism, sometimes referred to in our arena as parochialism. James Reston once wrote an article about Communism, in which he suggested that the monolithic communism of the 1950s had proven totally fallacious and that nationalism, particularly in Southeast Asia, remained the dominant force in world politics. Nationalism, parochialism, and institutionalism are important ingredients, particularly for universities, because we must remember that universities are based on peer groups themselves, and those peer groups are where we have quality control. Similarly, in networks, quality control problems will arise from an individual institution exerting its own needs and exerting its own desires in the

future. Mr. Cohen yesterday talked about the loss of sovereignty in a network environment, and he said that you all must address that problem in a statementlike way. That is the other side of nationalism or parochialism, and I agree with Mr. Cohen, it is coming.

George Ball, the former Under Secretary of State, wrote in the New York Times some weeks ago that the major dilemma of our complex time is "the disparity between our technology on the one hand, with its rapid pace of advance and its requirements of scale and scope, and on the other hand our institutional arrangements that are as slow to change and as often parochial in nature."

We must find a balance between parochialism and its strengths and inter-institutional cooperation and its strengths. I think we can take some pride in being parochial to research universities and libraries. In, if we must give up some of our autonomy in creating an operating environment which will address the problems of scholarly information from the viewpoint of the research universities and their libraries and major independent research libraries, then I suggest that we become collectively parochial in our operating environment and that we move forward not by omission, but by commission.

THE UNIVERSITY OF TORONTO LIBRARY AUTOMATION SYSTEM

Robin Braithwaite

MR. BRAITHWAITE: We welcome the opportunity to address your meeting today, to participate in your discussions on National Planning for Bibliographic Control. I emphasize the word "national", because Canada is not part of the United States. Some of you, I know, have a problem accepting this. A representative from Ohio, speaking in the House, recently described Toronto as the cleanest city in America. However, we believe that the problems of libraries need to be looked at on a North American basis rather than as United States or Canadian problems. In fact, your organization recognized this by including in the membership eight Canadian libraries who participate fully in your activities.

When the Treaty of Paris defined the U.S.-Canadian border in 1783, communication technology was very different from today. The range of highlands represented an impassable barrier in winter, forming part of the boundary between the two countries. The wording of the Treaty was so imprecise it was subject to dispute for the next 60 years. It was finally settled by arbitration, in which the American case was supported by maps from Harvard Library. Today's communication technology is such that it is easy to transmit data from one part of the continent to another as easily as from the next street.

When looking at library automation, the last 10 years have seen a very rapid change in the technology of cataloging. Today, nearly every library represented here makes some use of an automated cataloging system. We are on the threshold of a new advance. By planning and taking action now, we can have the benefits within a few years rather than waiting for years for the next stage to evolve, as has been the case with cataloging systems. I am speaking, of course, of the introduction of AACR 2.

Let me declare my background. I am an engineer by training, and the intricacies of how you define a heading according to one set of rules or another sometimes escape me. But I assume that the rules for AACR 2 are meant to make the access to material easier for the library patron. This must be the end product which we are trying to achieve. So, if we are to arrive at the benefit from the introduction of these new rules, we need to grasp the nettle, as it were, firmly now, rather than let the weeds overtake us and then try to clear them out afterwards. We are also standing at the threshold of another advance in library automation technology. There are authority systems already working in some of the networks, and the juxtaposition of these two presents an opportunity and a challenge. What better time to take a further step toward standardization than when you introduce a new set of rules defining how the data is to be prepared. No one has a position they have to give up. Everyone is in the process of change.

As I said earlier, the last 10 years have seen the introduction and acceptance by a large majority of libraries of automated methods in cataloging. The OCLC system has been running about 10 years and now has a data base of many millions of

records. The University of Toronto Library Automation System (UTLAS), has been running for about five-and-a-half years and has a data base of six million records, of which at least three-and-a-half million are unique titles. RLIN and WLN are also building impressive data bases. But the achievement of the library utilities has not been in the creation of millions of catalog cards. It has been in the establishment of a communication facility to capture and exchange data between libraries on a truly cooperative basis. The immediate effect of this has reduced considerably the number of times that a given work is cataloged, particularly if it does not fall within the category of material cataloged by the Library of Congress or the National Library of Canada.

In preparing this paper, I needed to define two different time eras, I called them "before networks" and "after networks", "B.N." and "A.N.". B.N., a work not cataloged by LC or NLC was probably originally cataloged many times, perhaps even hundreds of times, by a large proportion of the libraries that obtained it. A.N., this work theoretically should be cataloged only once by one member of each utility. The effect of linking the networks together would make it necessary for only one catalog record to be generated, and everybody else should theoretically be able to use it. However, the most significant step has already been taken. We have reduced the work of original cataloging from hundreds of times to four. Reducing it further to one may not justify the cost or the complexity of linking the networks on a fully integrated basis. This certainly does not mean that I disagree with the concept of cooperation between the utilities, but I think the purpose and characteristics of such cooperation need to be evaluated carefully.

As I said, we are faced with a challenge to libraries in the form of AACR 2. Views of the code range from a big ogre to something that requires careful planning. I am not sure I have heard anybody speak with enthusiasm about the benefits they are going to see from a better set of cataloging rules, but, by acting now, we could take advantage of an opportunity to derive benefits. This would, of course, need planning and organization rather than evolution by serendipity. Our position is that the utilities have developed a communications capability which spans most of North America and which permits the rapid transmission and exchange of data between libraries. The introduction of AACR 2 means that all libraries will have to reevaluate their cataloging procedures. Now is the time to try and arrive at a standardized interpretation of the new rules so that they can be used on a common basis.

I think we have to look back to B.N., to 10 years ago. Each card catalog was an entity unto itself. You certainly could not compare one card catalog with another; they were geographically separated, and there was no way to remember precisely the form of entry in one catalog and compare it with the form in another. Now, with on-line catalogs, it will be possible to sit down in one location and inspect several different catalogs. And what better organization to set up the direction and implementation of such a step than ARL, which represents the directors of the major libraries in North America?

As I said, it would have been almost unthinkable to propose a national or international authority file as being the way to control the forms of headings in an individual library without this technology, because it would have introduced

completely unacceptable delays in the already slow process of cataloging, and it would have meant a complete lack of control by the library of its own internal operations. New communication facilities do permit rapid transmission of requests for validation of new authority records, and it will become practical to think in terms of an authority file which is jointly maintained. It will also be practical to establish a group responsibility for validation of all records submitted. In fact, the WLN system, on a regional basis, does do this. It requires validation by the network of all records put into the system.

Now, let me be clear. The use of a central file does not preclude the use of local entries by a library where there is a need for them. There are two major authority files in use in America already, the Library of Congress headings and the MESH headings. Special libraries and libraries with special collections also have a need to define more precisely the access points in parts of their collections. But, for the vast majority of headings, the central file should provide a satisfactory means of access to local collections. The advantage is that, with the growing use of on-line access to catalogs or union catalogs, libraries do not have to interfile cards to arrive at a union catalog. Each of the utilities represents a very major union catalog.

If we are going to be able to find things and to collate them within these union catalogs, we are going to need standard authority records to provide the access. We are not talking about systems that have yet to be designed. Two of the utilities already have authority facilities working. Ours has been running for about six months, and the delay in making it generally available is not a result of anything in the system, but rather the availability of data. Pilot users had to input all the authority records which they required to make use of the system. Now, in order to avoid the proliferation of many separate authority files, which would in large part duplicate each other, we have put forward a proposal to some of our major library users to create a shared authority file (SHARAF). Thus, we would create and maintain a file of headings to supplement those issued by Library of Congress and National Library of Canada.

Two member libraries here today are among those who agreed to participate in this proposal, and the National Library of Canada has agreed to validate all Canadian headings that are entered into this file. It is anticipated that there will be about 150,000 names, mainly with cross references, in the file by the late summer. This will supplement about 100,000 records issued by Library of Congress and National Library of Canada. We are eagerly awaiting Library of Congress action on subject headings before resorting to entering those from the printed form. But it may well be necessary to do so. It is difficult to get a firm date from the Library of Congress as to when they will reissue the machine readable file in its current form, let alone start an updating service.

Now, in order to implement a North American authority file system, there will need to be a communications capability between the networks. As I said earlier, I was not sure that the exchange of bibliographic records would justify the developmental costs of linking the networks together, but I am certain that sharing authority records does. Once a heading is established, it needs to be validated and distributed to all concerned as quickly as possible to avoid duplication in effort and to avoid the establishment of separate, perhaps different, forms of the record.

Variant forms would then have to be reconciled and one chosen to replace the other. When a heading has been used in the unlinking and relinking of authority records, this is a complex process, even in a sophisticated computer system.

The implementation of a common approach to headings also has other, much wider implications. We have begun to see the use of the cataloging system and data bases for other purposes. OCLC has introduced, very successfully, an interlibrary loan package which allows inquiry between its members for interlibrary purposes on a very broad basis. We have introduced a similar system, which we call REFCAT, and it is currently under evaluation in the National Library of Canada to assist in developing its interlibrary loan inquiry program. We also see this sort of package being used by reference librarians to provide for the more sophisticated requests for information that they are asked to handle.

I am planning for January, 1981. Libraries are concerned with the next stage — what are they going to do to provide public access to their collections in a meaningful way. This is probably a topic of burning interest to most libraries. In the card environment, the only practical way would be to close one card catalog and open another one. In the University of Toronto Library, this was done when the library changed its classification scheme some years ago. The problem is that the patron, after a time, ceases to look at the so-called "old" collection because it is old. Why should they be interested in it? When UTL introduced the COM catalog which interfiled the two differing authority controlled collections, the use of the so-called "old" collection went up by a factor of three or four. It became available to the public when they were searching, rather than after a separate search. In other words, there are real problems in introducing a second (or a third or fourth) catalog that would have to be searched. So most libraries are looking closely at the closing of their card catalog. I think we will see a number of libraries choose the on-line catalog, with or without a supplementary card catalog as a backup.

Now, in our view, this is a separate operation from the cataloging system. It needs to be in a local computer, and our developments are working toward this end in producing a local, mini-computer based on-line catalog. At the same time, the local system needs to be linked to the central system for data control. It needs to get its data from a centralized catalog system rather than having data reentered into the local systems.

I think it adds up to an exciting future. Once we have replicated the access provided in the card catalog, we are going to gain acceptance by the librarians, at the working level, who are probably the most conservative of all professionals. Once we have established that, we can move forward into additional access points. Some of you are talking about adding subject descriptors far beyond the LC subject headings. This sort of thing will be possible; access by key word, etc., is not far away. In fact, some of these have already been tested in various different places.

Just to summarize, the last 10 years have seen the change from manual methods to the automated methods of preparing cataloging data. We are now on the threshold of using that data in public service. Order processing will probably be linked to these operations in the near future. The big step that we have to confront now is authority control and AACR 2. I link those two together because I

think they are very definitely linked, and I see this as an opportunity we can grasp now. If we all go away and say we are going to generate a new official catalog in each of our libraries, the costs are going to be prohibitive. Instead, we should take a common approach to creating an international authority file which all libraries can make use of and contribute to. If we can get that in place, I think we can reap the benefits of AACR 2.

DISCUSSION

MR. DOUGHERTY (Michigan): It is not often that a person gets an opportunity to die two days in a row. Forty minutes was tough yesterday. An hour today is even worse.

We all know this is a difficult and complicated topic, and I must say the speakers, every one of you really was very statesman-like in his presentation. So much so, Ed, that there were no ripples on that deep pool at all. I hope that, in this next hour, you will behave like lawyers generally behave when they are arguing a case. I remember the first time I sat in on a grievance hearing. There were two lawyers, and they went at it hammer and tong all day. I was amazed. I thought they were going to come to blows. Then they went out and had a martini at 4:30. So those are the hats we are wearing, our lawyers hats. I will buy you all martinis at the end of this session if you would like.

I think what we really need on this podium today is someone like Mike Wallace, who could draw you out, because let us be candid. There is a lot of talk about some of the issues we are confronting. I hope, in this next hour, that we can address some of those issues, and I hope there will be some pointed and perceptive questions. For example, what about cooperation between networks? What about allowing libraries to make use of more than one network? How are we going to link the networks? Maybe we should not link the networks. What about the development of local options, quality controls, costs? These are the types of questions being asked. I do not know if there are any answers. But I hope, in the next hour, we can explore some of these sufficiently that, when we leave here, we will believe the time was worthwhile.

Now, I can either ask a question or one of the speakers can begin. Or we can take a question from the floor.

MR. KREISSMAN (U. Cal., Davis): I would like to follow up on Dick's suggestion and ask the panel to respond to a broadly held perception among the library constituencies that are represented here that there is present — despite the two days of talk about cooperation and sharing — a spirit of combative competition within the utilities almost suggestive of the for-profit sector. As a matter of fact, Macy's-Gimbel's would not be too far fetched an analogy. Now, I recognize that this perception must be broadly mistaken because of what we have heard these past two days, but perhaps the panel could enlighten us on this deception that we hold.

MR. DOUGHERTY: Thank you, Mr. Wallace.

MR. KILGOUR: The analogy with Macy's and Gimbel's, whatever it was, was not quite correct. Macy's and Gimbel's does not have just you as customers, so to speak. It has a much broader market. Frankly, there are 80 of you either participating in OCLC or about to participate, and Ed Shaw is about to take 50 away. At least that is his goal, thereabouts, maybe 40. Maybe I do not get my arithmetic right. He is running a business. I am running a business, and I am reluctant to have him take you away from us. In fact, we are reacting against that.

As far as cooperation is concerned, we certainly will cooperate in any way that demonstrably benefits the library participants and the patrons of those libraries in OCLC. CLR is moving in the direction of studying this, but this has not really been made clear. It is easy to say, "You ought to have access to all the data bases, and that is cooperation, and it is a good thing with initial caps." But, if you examine it closely, some serious questions arise. These questions are now in the process of being answered.

Now, Ed, would you want to give the western picture?

MR. SHAW: This is a difficult question to answer, Mr. Wallace. Fred is right in one sense. Clearly, at the utility level, it is competitive. It is now, and it continues to be. I could suggest to you that competition is the American way of life, that it sharpens services, that it sharpens management skills, that it sharpens responsibility, and I think all of that is true. There is some health to be gained by competition. But from our perspective in the Research Libraries Group, competition is not what we are interested in. RLG would not be into RLIN, its utility, if RLIN were only a utility. Our members say there would be no reason to have a utility just for the sake of having a utility. Rather, our interest is in using the utility for program purposes among our member institutions. Obviously, Fred is quite correct, we would like to have all research libraries and their parent institutions as member institutions. But the existence of competition depends on the level at which you are looking at the problem. At the bibliographic utility level, competition is there at the moment. At the program level (at least as we define program), RLG is able, for example, to go into partnership — or rather a memorandum of understanding — with the Washington Library Network in order to share data bases. In a sense, data is not that critical to us. It is only a means to an end.

MR. STRONG: I think I would merely like to add that, since the outset, our whole philosophy has been one of serving libraries and their users, first within the State of Washington and later within the region.

There is always competition. Sometimes our competition is with state legislators or with funding agencies who are reluctant to fund any kind of utility or any kind of service beyond what an individual library has provided in the past. So perhaps ours is a little different. But if the service we provide is not competitive, in the sense that the networking or the computer services available to WLN members are not better, so to speak, then I am sure our members will look elsewhere. That is the nature of how we ought to be working with our libraries. We ought to be providing the best services we can with the money that is available.

MR. BRAITHWAITE: I would like to echo that point. You want a choice, but if you want a choice, there must be competition. The alternative is to carve the country or the continent up, as per the telephone companies, and you get no choice. There must be competition. Most of us here recognize that we are required to balance our budgets. We earn our reason for existence by selling a service to you which is useful. If it is not useful, you will not buy it. So, yes, there has to be competition, both in the level of service provided and geographical overlap. You cannot have it both ways.

MR. MARTIN (Penn State): May I respond to that? It is not really true that you have a choice between utilities — even now — because of the ways in which libraries are tied together. We are really operating geographically in groups, and unless you can get service from more than one utility, you are as tied to the one that serves most of your region as you are to the telephone. Even if you are going to provide geographically dispersed services, you are still not talking competition, because it is very difficult to switch. What happens if you have X amount of your data base with one utility, and you switch to another and put something in that? Then you are tied into two, three, or four interlibrary loan networks which are working through them. That sort of question is the basis of true cooperation rather than competition. I think we will have to be able to talk to several networks, whether we are communicating through one or going through several simultaneously, because we happen to be a research library with responsibilities to the whole State of Pennsylvania and to other areas. If we are in one network, while other libraries in the area are in another network operating a different way, we nevertheless have to be able to respond to them. So it is not as simple as you are trying to make it. We could not decide to join another group just like that, because we have all kinds of connections with other libraries. The real question is, "How are you going to make cooperation work effectively for a library with multiple missions?"

MR. DOUGHERTY: Would any of you like to respond to Murray's question-statement-challenge?

MR. BRAITHWAITE: I would like to make one comment. One of the basic principles under which UTLAS operates is that you own your own data and you can take it with you. So, in response to the particular point you made about a split data base, if you used us for some time and then wished to move to another utility, you could take your data with you, if they could load it.

I know I oversimplified the other question. You cannot move easily from one utility to another, because it has very broad implications in the whole way your library operates. But the basic premise must be that, if we are to be kept alert in satisfying your needs, there must be some element of competition.

MR. SHAW: We are talking about one of the most difficult areas you face. I think, as I suggested in my discussion of organizational structure and priorities, that research libraries and research universities have at least three levels of responsibility: local, regional, national. You have to decide for yourselves as individual institutions from which perspective you will begin to address the other perspectives. All three must be addressed, but do you address regional and national responsibilities on the basis of a local set of responsibilities, or do you address local and regional responsibilities from the basis of the national responsibility? That is what I was suggesting earlier when I discussed the conceptual structuring of how you approach your peer group. The "how" we do it comes from the peer group deciding how to deal with the problem.

Obviously, I have a bias that says research libraries and their institutions need to address it from a national, or program responsibility, in regional terms and in local terms to be sure, but from a national perspective to begin with. Then address the other two levels.

MR. ROSENTHAL (U. Cal., Berkeley): I wonder if Gary and Ed would talk a little more about the cooperative arrangement between the two utilities, WLN and RLIN, and specifically address what is happening as far as authority control goes between the two utilities. What problems can be better addressed by RLIN from the WLN experience? What mistakes have been made by WLN in this area?

MR. STRONG: Go ahead. Fill in the holes.

MR. SHAW: We are just starting, I should say first. But let me say that we have made some progress. We have some research and some promise, I think it is fair to say. Our technical directors have met, and they are in the process of drawing up a first order proposal to Gary and Rod on the one hand and my senior staff of the other, on the question of the first steps towards essentially conforming authority files. As you all know, and as Gary suggested, WLN has an active, on-line authority control system working well. We believe in RLG-RLIN that we can use a considerable amount of their experience in moving toward on-line authority control, which we are obligated to do within the first half of 1980 because of one of our members, the New York Public Library, and its need for a book catalog. The sharing of system specifications has begun and will continue. It has begun in acquisitions, although authorities, of course, are the most critical part. We are preparing a joint proposal to work together on an inter-network authority system. I think it is fair to say we do not know enough about WLN's mistakes to know what we are going to avoid. We know how much we do not know in RLIN-RLG, and we know the end result of what we have to get to. I think the combined efforts are going to lead us there quickly and effectively.

MR. STRONG: Talking about your mistakes is not always the most fun thing to do. To be very honest, however, I think that the planning that went into the on line system of WLN, in terms of the interlinkage between the bibliographic and authority systems, allows a great deal of flexibility, so that, when we do find problems, we are able to address them on more of an individualized basis than on an entire system impact basis. One of the problems we recently grappled with was the ability to change headings. Our programming staff has worked on that problem, and, at this point, we are able to make certain global changes at the network level within the authority system. The morning when we changed from aeroplanes to airplanes, for example, we cracked the champagne, so to speak, out in the office. We did that in about an hour-and-a-half, rather than the kind of time consuming process that would have taken in an unlinked data base.

As we do further work on the authority system, and there are things yet to do with that system, the problems are a little easier to identify because of the experience our staff has had over a period of years. It has been an evolving system. We have had no total answer all at once. In fact, the system has been under development since 1969. Part of it was developed, I was going to say "out of house", but I guess I better be careful how I phrase that. So, we were not dealing with just our own knowledge and our own technology in developing the interlinked system. I think that is an important consideration as to where we are now. As acquisitions have come on, the authority file has become even more important, because we are now able to input orders, for example, using the records in the bibliographic sub-system so that typing is saved. A whole variety of things fall more easily into place that way. Again, the authority system is the basis for the work we are able to do.

MR. SHAW: Joe, if I could just expand, there is one area about which we are concerned from our side of the relationship with WLN. Their authority system right now calls for a human check on every record as it flows through. As long as you are dealing with a relatively common set of intellectual minds, that is the ultimate principle in authority control. But it is unclear to us whether that will work in a broad national network, amongst a lot of major research libraries who all contribute heavily in original cataloging, especially in a distributed environment, which we will be into in the early part of the 1980's. In fact, I believe it cannot work that way. The human effort would be too expensive. So, one of the things we will be working on in both organizations is "sufficiency", that is, how we can sufficiently do the work mechanically. We could then use the human interface with our members just to get to reasonableness, but we will never get to a hundred percent. There is just no way in a machine environment we can get to a hundred percent in the absence of a hundred percent human involvement. That is going to be too expensive. That is at least one area where we have to work it out together.

MR. STRONG: I think there is one more thing I would like to add concerning authorities. The subject authority system does presently allow for the entry of a variety of authority lists. We use LC subject headings, LC children's headings, MeSH headings, National Library of Agriculture headings, some of the Canadian headings, and whatnot. So the system does allow for the entry of variable forms of heading and then adds a notation as to what authority lists those are from. And the library has a choice. The system also allows for institutions to sign headings, so an institution, for its own purposes and its own products, can add headings for the cards and COM catalogs that are printed for that institution only. So, there is some flexibility built into the authority system that allows for institutional integrity.

MR. LEE (Western Ontario): The question I would like to ask, Dick, is not related to networking or linking systems. It is more of an economic and geographic question. I will pose it to the four panel members. Robin, would it be possible for UTLAS to sell its services or its package outside of Canada? I also wonder about the other three groups. I know about OCLC. Would or could RLIN or WLN sell its services or its packages outside of the U.S.?

MR. BRAITHWAITE: A very quick answer: Yes, we will provide services outside the boundaries of Canada.

MR. LEE: What precedent do you have?

MR. BRAITHWAITE: There is no precedent, but we have checked out the technical means of communication, and they seem all right.

MR. KILGOUR: The answer for OCLC is, of course, "yes". We are working with a couple of areas in Europe right now. "Working" is perhaps putting it a little too strongly. We are in the early stages of negotiation in a couple of areas in Europe, and, of course, we have repeated inquiries from Canada. We always say "yes", but we have no one in Canada participating in OCLC in the usual way. The National Library does in the CONSER project, but none of the other libraries does at the present time.

MR. SYLVESTRE (National Library of Canada): Mr. Chairman, before you proceed further, there are two parts to this question, and I am more interested in the second part. I wish you would respond. Question one is whether they would sell their services abroad. But much more interesting is whether they would sell their software and allow replication of their system elsewhere.

MR. KILGOUR: I do not think anybody would really want to replicate the OCLC software. They would have an awful time getting equipment.

MR. BRAITHWAITE: I think the same would be true of our cataloging support system at the present time. However, we have Honeywell equipment on order to replace the Sigma, and when that transition is made, it will be perfectly practical to replicate the system elsewhere. It would require a major support staff, of course. On the other hand, our local control system, which is based on mini-computers, is designed for replication in many, many places.

MR. KILGOUR: Let me add, however, that the present OCLC system is designed for distributed processing, and it actually operates on distributed processing, but all in the same couple of computer rooms. The present data base is designed to make it possible to add equipment of different manufacturers and to run in parallel so that we can evolve eventually. Much of the activity has been taken off the Sigmas in the course of this distributed processing design, so there really is not "a program" at OCLC now, Guy. It is a large system that has four major components, all having their own programs, and it is designed for constant growth.

MR. STRONG: As I mentioned this morning, we will continue to provide on-line services from our center in Pullman to the libraries in the Pacific Northwest on a long-term basis. We have had inquiries from other parts of the country, and we have considered experimenting with extending services outside the Northwest, but we have always said our priority is in the Northwest. Anyone with money can adjust that priority, of course.

In answer to the second question, the system has been successfully replicated in Canberra, Australia. We have transplanted the software packages, and the off-the-shelf software has been installed by companies that market that software. So, we are in the process of replicating our system at the moment. We are conversing with several other entities as well concerning potential replication of the software.

MR. SHAW: On the question of services, the answer would be "Yes, specifically to research libraries," because that is the group of which RLG consists and to which RLG is most dedicated. On the question of replication, as Gary pointed out this morning, WLN and RLG have in their memorandum of understanding, a joint exportation program which would include RLG software as well as WLN software. Exportation to research libraries is not impossible, but it does work against what we are trying to accomplish within the corporate organization as a whole, that is, membership by research libraries within the partnership organization. We hope that research libraries will look at the partnership as offering real advantages on the program side beyond the use of the utility.

MR. BRAITHWAITE: May I add one final point? I agree with Ed Shaw that the proliferation of many cataloging centers will be counterproductive, because it will make the cooperative interchange of information even more difficult, and, therefore, the benefits from shared cataloging will be lost. What we need is the decentralization of the other processes, but I very firmly believe that the bigger the data base, the better the service you can get. If you start proliferating many, many different systems, they are going to become local systems, and we will be back to where we were before — only with a different sort of card typewriter.

MR. SHAW: Robin, I do not want to be misunderstood, given your extension. If we were dealing only with shared cataloging, I believe that local applications with linkages would be quite possible. They might be economical in the future. I am not sure about that, but clearly it could be done, particularly with some of the new hardware we expect in the first part of 1980 from the major computer firms. My point is that, at least among research libraries, we are dealing with something greater than shared cataloging, and that is the use of shared cataloging and acquisition support to support other kinds of programs, such as access to collections and cooperation in collection development. That requires some sharing. Whether it is on 50 tiny computers or one big computer is a technical and economic decision. I do not think that needs to get in the way of the idea of research libraries being able to deal with one another as peers. That is what I meant.

MS. TURLINGTON (Association of American Universities): Back in December and January, when we were still talking about a national library agency, I was trying to understand some of the fears that seemed to be getting in the way of progress on that issue. Some systems people told me that one of the problems was a fear that a national library agency might eliminate competition by forcing everybody to choose one utility. Is that a real fear among people that run the utilities or among the research librarians?

MR. DOUGHERTY: That is an interesting question.

MR. KILGOUR: No.

MR. SHAW: I am not sure. I think it may be a fear, because if one must come down to a single choice, it will be like the one I suggested this morning: the difference between one of two watches. One likes to be sure, and yet one likes to have choices, and, therefore, one is never sure. RLG's premise is that the owners decide what is happening, and, therefore, it serves their best interest. In that sense, RLG is noncompetitive. It is like a library within the university itself. The president of the university does not go himself and put out a bid for different library staff, a different library structure, and a different library collection every three years, to see if he can get a better deal. I must admit, I was at a meeting in December where the idea of contracting out for library services was suggested. But, just as library services cannot be contracted out by universities, I do not believe research libraries in particular can contract out that system which supports their activities. They must have intellectual control of it in the long term. In that sense RLG is noncompetitive. In the other sense, if the libraries own it and run it, then the better mousetrap is their responsibility. I guess that is one

of the fundamental premises I have. That does not answer the question, because I think it is both a "yes" and "no" question in this environment, even across this table.

MR. DOUGHERTY: One of the first questions had to do with competition, and you all seemed to acknowledge that competition exists and that it is healthy. I would like to pose the same question in a different way. Competition can also be unhealthy, and I wondered what thoughts you might have at how we can keep this competitive scene as positive as possible in the next year or year-and-a-half.

MR. SHAW: The one way we can keep it positive is for us to keep talking, because I think that helps. It helps avoid the secret syndrome of somebody dreaming something up and worrying about it. We are potentially in the midst of establishing a new equilibrium. Until there is some kind of equilibrium, I suspect that cooperation and competition will continue. It will continue until there is a sufficient equilibrium to allow relative peers to talk with one another. Perhaps then there will be more cooperation than competition. I think we may have a short term problem, but, in the longer term, I see the prospect of full cooperation in all of the ways we talked about yesterday.

MR. KILGOUR: I would like to differentiate between "cooperation" and "working together". The American librarians banded together to cooperate effectively for the first time a century ago, and this has been on the banner ever since. But, by and large, cooperation in American librarianship has meant getting something from the other guy for nothing. Yet it does cost the other guy some money. True cooperation would be A getting something from B when it does not cost B any money. This is the case in the shared cataloging systems about which we are talking. When you put a cataloging record into one of these systems and then another library uses that record, it costs you nothing to have that other library use that record. This is the kind of cooperation that is really meaningful.

Think back to our first questioner, for instance. Although he used "cooperation", I think he was really talking about "working together". We do work together a little bit, and CLR has us working us together more and more. But essentially it cannot be a matter of the first type of cooperation. That surely is not going to work among the utilities. If we can find a way for the second one to operate, I can assure you it certainly will work.

MR. DOUGHERTY: Fred, I can sympathize with the problem of the word "cooperation." I made some comments in an editorial about a year ago, and then found out I was accused of putting chains on the books in Michigan.

MR. SHAW: I wonder if I could address that. I am not sure which way to pick up that differentiation, Fred, but let me suggest that our organization is talking about either "working together" or "cooperation," whichever of those terms means interinstitutional activity in which the member institutions are responsible to one another for activities. I think this is possible for perhaps the first time with the kind of cooperation that the library directors in RLG at the moment have with one another. In mid-April, we were fortunate to bring the then seven member library directors and their presidents together. The kind of support that the presidents of

ELG member institutions gave their library directors in relation to institutional cooperation, shared collection development, and shared access, was striking. I can let the library directors speak for themselves, but I was pleased at that. I think they were. I think that kind of support for library directors within their own institutions is what we are looking for in an environment where we will effectively work out bilateral relationships that are long standing.

MR. ROSENTHAL: I would like to posit a scenario. Let us assume that the studies under way at the national level come out with the recommendation that linkages among the data utilities were desirable and would assist in building the national bibliographic system. Let us also assume that a tentative set of protocols for reimbursements with regard to inquiries among data bases, or particular features of one data utility as opposed to another, were also proposed. Would this be sufficient for the people at the podium to engage in such an attempt at linkage?

MR. DOUGHERTY: Who would like to be first?

MR. STRONG: I will be on this one, I guess. We are presently looking at linkages and would be interested in pursuing that kind of a concept, yes.

MR. SHAW: I have to echo, since ELG and WLN are already into linkages on a bilateral basis. The answer would be "yes", Joe, assuming what you said came out of the study.

MR. ELCOUR: I would qualify our answer, and I strongly suspect you would too, Ed, if it meant that you were drastically going to change your purpose and your goal. If it meant not having any research libraries, you probably would not go along with it. We have to put that kind of caveat on, too.

It would not be a recommendation, Joe. This study is looking for data to demonstrate benefits, and, if it demonstrates benefits, the answer is "yes". All three of us would link. But it will have to be all kinds of benefits. It will have to be benefits that are economic, particularly to the participating libraries. There is no point in doing any linking that will run up the cost to participating libraries. This is essentially the way your proposal is designed, is that not correct, Lee?

MR. JONES: That is correct.

MR. SHAW: Fred, let me disagree basically. If there is a better way to do it than the way the organization for which I am accountable proposes, all eight current members and prospective members would follow that way. Our interest is in providing scholarly information over time to faculty and students in universities, if that is where our libraries are, or to library patrons if they are located at major independent libraries. If there is a better way to do it, if ELG is not the right way, we will follow the right way whatever way it is. I realize that statement cannot be proven in the absence of an alternative that would cause me to recommend to our members that we dissolve and move to a different organization. But it certainly is what I believe, and you will have to take it on faith that I believe that. You can ask the member institution library directors whether they believe that. I think their answer would be uniformly "yes". We have not found a better way to accomplish the goals we set out, but if there is one, we would certainly take it.

MR. BRAITHWAITE: Fred mentioned three networks. There are four of us here. We would certainly be concerned to participate in a program of cooperation that may or may not exchange data. I think the problem has to be resolved. The bigger problem is that, if this results in a number of people going off and not providing their data into one of the data bases, this will have a negative effect. There are a number of libraries who would like to do their own thing, if they could only get access to data. The biggest problem is that the people who would go would then just be takers of data out of the system and not cooperators in building a data base. In spite of the fact that there is competition on the service level, the utilities could not survive unless there is true cooperation from the members of each network in building that data base.

MR. SHAW: I want to follow up on something Robin said, because, from our perspective, it is important to understand that the member institutions in RLG own the main tracks and own the side tracks (to use the railroad term that I used before with our members). It is absolutely clear, for instance, that local applications are going to be essential in delivering all of the things we talked about this morning, at least from RLG's perspective. The point of cooperation and the point of finding the better way is that the member institutions must look at both the main track, that which they depend upon to link one another, and their local tracks in the same analytical or procedural format. So far, the members have agreed that, as they have come on, they have full responsibility in an inter-institutional sense. Again, I want to repeat, the data is a means to an end, it is not an end in and of itself.

MR. SCHMIDT (Brown): I am concerned about things that have surfaced this morning and that surfaced in Seattle the last time Fred was on our program. There are three dimensions to what I will call the economic aspect of all this. The first is the whole body of literature on pricing theory as it relates to monopolistic and competitive environments and the consequences that ensue from different levels of competition. The second is a concern that Murray Martin touched on a bit earlier in his comments. That is the extent to which we can afford a kind of a economic Darwinism, a survival of the fittest in the marketplace. What about the libraries that commit themselves to utilities that do not survive? The third has to do with the enormous range of regulatory issues, some of which are international and were touched on today. Others are interstate, still others concern anti-trust issues, tariff schedules, communication, unbundling, all that kind of stuff. It seems to me we are in for an uncertain future in which we will have to chart our course through essentially foreign waters.

MR. DOUGHERTY: Whether you intended to, Jim, I think you began to set the agendas for some of our future meetings.

MR. KILGOUR: Jim, would you repeat the first point that you made, please.

MR. SCHMIDT: I cannot do it very well, Fred, because I am not an economist. I escaped ever having to take it because I took philosophy instead, scholastic philosophy, I might add. But I have discovered from my colleagues in the economics department that there is a body of literature on pricing theory which

indicates that the pricing behaviors are different for commodities in a monopolistic situation than when there are multiple actors. We have moved into a more competitive market now, so pricing behaviors should be different than they were, say, in the first half of the 1970's.

MR. KILGOUR: Ed Shaw is the economist.

MR. SHAW: I did not know he was here today. It is a striking point, all three of them. Let me suggest that, if we are moving in economic terms, we are moving not from a monopoly, if that is the way you wish to describe it, to perfect competition, which means that the marketplace cannot be affected by either the supplier or the buyer. More likely we are moving toward an arena of oligarchy, and there are classic economic theories that deal with oligarchies. Economically your budgets support what we do. The question will be, "How much will the resources available to research libraries support?" That is a decision that has to be made at least initially by each of the organizations involved. There is risk. There is risk in everything, and we are entering into an arena where there is a lot of risk.

Your second issue of economic stability or financial survival is clearly one worth addressing for a moment. The way I would address it is one of self-fulfilling prophecy. Clearly, as institutions, we must be concerned with that with which we associate or own. In my case, that is a self-fulfilling prophecy. What happens in this reestablishment of economic equilibrium is not something that has escaped me. I have some thoughts on it, but they are difficult to talk about in four or five minutes.

MR. DOUGHERTY: I have been told I must bring the session to a close. I know these are difficult issues, and I thank the four of you for participating and joining us today.

MR. GRISHAM: I would also like to thank our panelists on behalf of the ARL members, especially Dick for leading us. This is quite a group to stand before, and we appreciate very much their willingness to participate today.

SPECIAL ADDRESS

THE WISDOM OF PROSPERO

Jaroslav Pelikan

Yale University

The Tempest was the first play of Shakespeare that I ever read when I was very young, just as The Magic Flute was my first Mozart opera. Both works caught my boyish imagination with their whimsy and fancy, and I am told that I would recite the speeches of Ariel or hum the melodies of Papageno as I played. For, when I was a child, I spake as a child, I understood as a child, I thought as a child. But when I became a man, I found myself returning to these two works more than to any others by these pioneers of the human spirit; and The Tempest is still the Shakespeare play that I like best. In part, I admit, this is because Miranda is one of the three most delightful young girls in our literature, the other two being Nausikaa in the Odyssey and, of course, Natasha in War and Peace. But it is also and above all because of Prospero, who, like Hans Sachs in Die Meistersinger, articulates a wisdom that is born of experience and of mistakes, with a maturity of judgment that still somehow manages to avoid cynicism.

The wisdom of Prospero finds its supreme expression in an act that ought to be memorialized somewhere here on the campus of the Massachusetts Institute of Technology, for the play reaches its climax in Act Five, when Prospero, dressed in his magic robes, announces his intention to turn from supernaturally manipulating the forces of nature to scientifically understanding them:

But this rough magic
I here abjure; and, when I have requir'd Some
heavenly music,—which even now I do,—
To work mine end upon their senses that
This airy charm is for, I'll break my staff,
Bury it certain fathoms in the earth,
And, deeper than did ever plummet sound,
I'll drown my book.

But tonight I want to turn to another chapter of the wisdom of Prospero, one that is more relevant to you as research librarians and to me as a scholar (and a scholar who has served some time as an administrator). It comes in Act I, when Prospero, reminiscing about his lost estate as Duke of Milan, muses:

Me, poor man,—my library
Was dukedom large enough.

When I left the Deanship of the Yale Graduate School a year ago, I had those words engraved on a plaque, which now hangs on the wall of my study. And so it is not as

an ex-Dean (or ex-Duke) that I speak to you tonight, but as one whose library has proved to be dukedom large enough, as an intellectual historian of the Middle Ages and the Reformation.

Most intellectual historians would probably agree that the single most important event in the modern study of the Reformation was probably the discovery of Martin Luther's long lost Lectures on Romans, which he delivered during the crucial years of 1515-16. In the nearest thing to an autobiography that he ever wrote, the lengthy foreword to the first volume of his Latin works, published in 1545, just a year before his death, Luther himself spoke of these lectures as a turning-point in his spiritual and theological odyssey. Yet, oddly enough, they were never published. The various collected editions of Luther's writings from the sixteenth to the nineteenth century did not include this extremely important work, and it was widely, though by no means universally, assumed that it, like other books of the Reformer, had been lost. Then, early in the twentieth century, a copy of the manuscript was found, becoming the basis for a provocative reinterpretation of the beginnings of the Reformation, published in 1904 by the German historian Heinrich Denifle. And where was this priceless copy of the charter of Protestantism found? Why, in the Vatican Library, whither it had come during the Thirty Years' War. The vast resources of that research library, opened to scholars by Pope Leo XIII after his election a century ago—together with the collection of the Prussian State Library, where Luther's own manuscript of the Lectures on Romans was later rediscovered—made possible a fuller understanding of medieval and Reformation history.

There are, of course, numerous parallels to this story, for example, the manuscript of the Brandenburg Concerti of Bach, which was sold off during Bach's lifetime and not published until the end of the nineteenth century, or the famous Codex Sinaiticus of the Greek Bible discovered by Konstantin Tischendorf at the Monastery of St. Catherine on Mount Sinai in 1844. Instead of dwelling on the history of scholarship and the textual transmission, however, I want to use the case of Luther's Romans to propose several generalizations about the role of the research library in our culture.

The historical irony by which a manuscript of Luther belonging to the Bibliotheca Palatina of the Vatican Library became instrumental in the reorientation of history and theology during the twentieth century suggests one such generalization. More perhaps than any other institution in a culture, the research library stands as proof of the heterogeneity and pluralism of that culture. You may recall the chilling description in George Orwell's 1984 of how, when the totalitarian regime changed its policy on some question or other, it would dispatch its bureaucrats to the archives and research libraries of the nation to doctor all the historical records and sources into conformity with the new stance of the government. Thus the epigram that Aristotle in the Nicomachean Ethics ascribes to the poet Agathon of the fifth century B. C., "that even God cannot change the past," is contradicted when an authoritarian system—be it political, ecclesiastical, scientific, literary, or academic—attempts to iron out the differences in its heritage and to achieve a Gleichschaltung that reinforces its control over the hearts and minds of its subjects. It is not enough to capture the contemporary media of communication (thereby determining the present) and the agencies of

education (thereby determining the future); the past, with its rich and varied layers of experience, must also be bent into shape lest it corrupt the educational process with its incontrovertible evidence that there exist alternatives to the current definitions of the party line.

In the Middle Ages, the most dramatic instance of such evidence of heterogeneity was probably that provided in Peter Abelard's Sic it non (which, interestingly enough, itself reposed in obscurity from the time of its composition until almost seven centuries hence, until the publication of excerpts from it in 1836, and the first critical edition of it was completed only two years ago. In this compilation, as its title suggests, a series of questions on theology and ethics elicited from the tradition of the church fathers a series of answers that seemed, at least on their face, to contradict one another: both Yes and No could find support in the tradition. By this means Abelard sought to show that the tradition could not be used indiscriminately as an authority, but had to be understood critically and interpreted dialectically. For American history, this pluralism of our origin and tradition has always been documented for us in The Federalist, upon which successive debates over our national destiny have drawn for clarification. No one can read the Federalist papers — nor, as our meeting today in the John Adams Room should remind us, the papers of John Adams and Thomas Jefferson — and then treat the American proposition as a monolith. But those documents do not even nearly represent the spectrum of the American experience, and it has only been in our time that some of the neglected voices of our tradition have begun to be heard. To cite one outstanding example, my colleague in the Department of History at Yale, Professor John W. Blassingame, is editing the papers of Frederick Douglass, in which, despite the existence of the edition gathered by Foner, there will become available for the first time the corpus of the works of a black leader whose contributions are usually underemphasized in the accounts of the nineteenth century. Something similar is waiting to be done with the history of the various immigrations; for, even after a generation of work by Handlin and others, we go on treating the history of the United States as though "the uprooted" had made their principal contribution to American life by immolating their identity and accepting subjugation to the Anglo-Saxon norm.

Now just as Abelard would have been unable to demonstrate the pluralism of the patristic tradition without the riches of the research libraries at Paris and at various monasteries, so also our rediscovery of the varieties of the American experience—and, perhaps even more importantly, the subsequent rediscovery of further varieties by generations after our own—would be impossible if the indefatigable collectors of Americana had not pursued their vocation (or, often, their avocation) and if research librarians had not been prepared to acquire those collections when it came time for the heirs to disperse them. Each of you would, I am sure, be able to provide anecdotal evidence from the acquisitions history of your own institution to support the thesis that a valuable part of our American past might well have been lost if the current state of interest, or taste, or belief, had been able to dictate what shall be kept and what shall be discarded. It is probably unavoidable that decisions about what shall be published and what shall not will be shaped by what is currently regarded as important; hence the editions of the papers of the founding fathers by several university presses, as well as the work of the "Center for Editions of American Authors." But that makes it all the more vital

that you, as those responsible for research collections, acquire and preserve also what is not fashionable, against the day when its importance is suddenly discovered. Only through such acquisitiveness did Luther's Romans manage to survive the ravages of time, even in the Vatican Library, to go on to make history in the twentieth century.

Yet the counterpoise to this pluralism, especially in an age like our own, is the need to discern the continuities that underlie the varieties in our common memory. For all of its reformatory and indeed revolutionary force, Luther's Romans also illustrates such a continuity. It was, after all, based upon an ancient and venerable text, one that has been the starting point for renewals of Christian thought throughout the centuries. When Augustine heard the voice of a child calling, "Tolle, lege; tolle lege (Pick it up and read it!)" the text on which his eyes fell—by chance or, as he believed, by providence—was from the Epistle to the Romans. When the adversary of his later years, Pelagius, was working out his views of good works, faith, and grace in opposition to Augustine's, it was the epistles of Paul, and especially Romans, that inspired him. Peter Abelard is famed for his work in logic and dialectics, and rightly so, but his exposition of Romans was the place in which he articulated his distinctive interpretation of the redemption through Christ. In a later day, John Wesley at Aldersgate on May 24, 1738, "felt (his) heart strangely warmed" at a meeting "where one was reading Luther's Preface to the Epistle to the Romans." And during World War I, a Reformed pastor at Safenwil, Switzerland, found the optimistic liberalism in which he had been reared unequal to the Armageddon of the age, and struggled his way through to a statement of the Christian message that fell, as the saying went, like "a bombshell in the playground of the theologians"; the bombshell was Karl Barth's Der Romerbrief, published in 1919. Thus Luther, in his very divergence from the Catholic tradition, manifested a profound continuity with it.

Nor is this synthesis of continuity and creativity unique to him—or unique to theology. It is, rather, fundamentally characteristic of any culture that has learned to transcend the ephemeral in its inspirations. But the difference between a dynamic continuity and a static conformity lies above all in the need for each generation to make that legacy its own. If I may quote my favorite epigram from Goethe's Faust,

Was du ererbt von deinen Vatern hast,
Erwirb es, um es zu besitzen.
(What you have received as a legacy from your fathers,
you must win for yourself, in order to make it your own.)

For that process to take place, and for it to be repeated, our culture depends upon the riches of its ancestral dukedoms, our research libraries. Conformity may be able to depend on powers of enforcement to beat each successive generation into shape, but once the critical faculties of thought and scholarship have been unleashed, it will only be by more profound thought and scholarship that continuity will become visible. Whenever education turns, as it appears to be turning again now, from the intellectual fashions of the moment to the central themes of our

common experience, it is obliged to transcend not only the fashions but also the conventional ways of treating those central themes; and it must send a new generation of scholars back to the stacks, back to the archives, back to the manuscripts, for the mining without which the minting will be counterfeit. Not only the Italian Renaissance of the fifteenth and sixteenth centuries, nor only the "Carolingian renaissance" of the ninth century, but the rise of medieval studies early in the twentieth century and the current reawakening of interest in Romanticism—all of these have been possible because Irish monks and Byzantine pedants and bibliophile pirates never had enough, but hoarded their treasures and greedily reached out for more. As the beneficiaries of their cupidity, which has enabled us to discover our own continuity with our heritage, we owe it to those who follow to provide the means by which they, in their own ways, may come into the possession of their own past, to which, let it be remembered, we too shall soon belong.

In speaking of the Italian Renaissance, I am reminded of yet another aspect of the story of Luther's Lectures on Romans, a phenomenon that he shared with the scholars of the Renaissance, despite their well-publicized differences, namely, the knowledge of Greek. Repeatedly, in his exposition of Romans, he showed off his Greek learning (much of it based on Erasmus's notes on the Greek New Testament) and used the distinctions of Greek grammar and vocabulary to penetrate more deeply into the argument of the epistle. Most of the great exegetes of the Western Church, including Augustine, had managed to get by with very little Greek and still less Hebrew in their study of the Bible; indeed, some of the most striking insights of their exegesis were based on the mistranslations of the Vulgate. Beginning with the Renaissance and then continuing into the Reformation, the Christian scholars of the West recognized their need for the biblical languages, which now became, at least on the Protestant side, standard equipment for theologians and even for parish clergy. Biblical Greek was, of course, only a small part of the literary heritage to which Renaissance scholars gained access once they learned Greek. The result was, in Jacob Burckhardt's words, "the enthusiasm of a few collectors of that age, who shrank from no effort or privation in their researches, (without whom) we should certainly possess only a small part of the literature, especially that of the Greeks, which is now in our hands." The ability to read Greek not only inspired these collectors, it also enabled later generations to take advantage of what they had collected.

In our own time, however, the capacity of the research library to be a powerful dukedom is threatened by the loss not only of the Greek that the Italian Renaissance imported from Constantinople, but of the Latin that it continued to cultivate. Recently, I read the chilling statistic that, of the 1.1 million children in the public school system of New York City, primary and secondary, there were 600 studying Latin—about four or five teachers' worth. If this neglect of the classical languages meant that our schools are taking seriously the global imperative of one world in the twentieth century, it would be understandable, though still not acceptable. But after the flurry brought on by Sputnik, the study of contemporary so-called "exotic" languages is also faltering. And just when the grandchildren of the immigrants are expressing an eagerness to recover their heritage across the seas and to find their "roots," access to that heritage through the languages is becoming increasingly difficult. The exceptions to this are many, and they are

heartening. I have repeatedly watched undergraduates and even graduate students catch fire in their late teens or early twenties as they became acquainted for the first time with the strange new world of Latin or Greek or Russian. But the level of language study—and, alas, the quality of language teaching—must be seen as a disaster area, just at a time when we need more of it, and in more languages, than ever before.

Unless something reverses this trend, you and I (or, at any rate, those who succeed you and me) may both be out of a job. Let me make clear my belief that the work of building research collections must go on even if no one but the cataloger can read the titles. Practically speaking, however, neither catalogers nor library administrators can defend research libraries from drastic budget reductions unless the educators and administrators who make decisions about the budget and the public and private sources of support on which they depend can be persuaded that the research library is not a frill in our educational establishment, but a basic component of what we are and do. Scholars and libraries have a common interest, indeed a common responsibility, to provide the tools for the study of the materials collected in our research libraries. The shared responsibility has an interesting pedagogical corollary: the recognition of the treasures hidden in research libraries can become a powerful incentive for the acquisition of those tools. Recent legislation is aimed at reviving the study of languages and, through it, the participation of succeeding generations in the legacy of which research libraries are the ultimate repository. During most of this conference, you will be discussing among yourselves and with colleagues from other institutions a system of "national planning for bibliographic control," so that the inevitable reductions (if I may revert to my Dean's role for a moment) do not reduce our total wealth even though they may seriously affect this or that individual library.

Lacking the technical competence to decide such questions but speaking as a user of the research library who literally could not carry out his lifework without it, I am persuaded that we in this generation have a duty to provide the scholars of this generation and the next with the means for studying the world in the breadth of its polyglot variety, but also in the depth of its history, including and especially the history of our own Greco-Roman and Judaeo-Christian traditions. The loss of those traditions would mean not only a mass amnesia, but the impoverishment of our intellectual, spiritual, aesthetic, and moral life. For it was, after all, in a research library that Luther became a reformer, in a research library that John Henry Newman became a Catholic—but also in a research library that Karl Marx developed an idea that was to turn the modern world upside down. The ideas of tomorrow's reformers and tomorrow's revolutionaries, together with the ideas by which they will be corrected and refuted in turn, may well come from the same source. And so, the next time you pass a carrel in your library and see an intense and bookish young person poring over arcane materials, pause a moment to reflect: you may well be watching the beginnings of a new and powerful dukedom, not only the revival of the past, but the birth of the future.

BUSINESS MEETING

Special Report on

The National Commission on Libraries and Information Science

MR. ANDERSON (Colorado State): We are indeed fortunate this afternoon to have with us the Chairman of the National Commission on Libraries and Information Science. This gentleman is a Yale graduate, he has been a teacher, he has taught the fifth grade at Washington Elementary School in Evanston, he has been President of Encyclopedia Britannica Films, Inc., and of Encyclopedia Britannica Educational Corporation. He is currently Chairman and Chief Executive Officer of Films, Inc. He is highly involved in various civic activities, including the William Benton Foundation, he is a trustee of the University of Chicago, and he has recently communicated to the library community through the pages of the May 15, 1979 Library Journal on the challenges facing the White House Conference.

He has taken time from his busy schedule to share a few thoughts with us about the National Commission. This afternoon he has also agreed to answer some questions after his introductory remarks. I would like you to welcome Charles Benton.

MR. BENTON (NCLIS): Thank you, Mr. Chairman. I am very honored to be invited to join with you, and I am just sorry that I cannot stay the entire afternoon. Yesterday and the day before yesterday we had the first meeting of our reconstituted Advisory Committee to the White House Conference. We had a marvelous two days of meetings, but it has been one year since that group has met, and getting it all reshuffled, in place, and in focus was no small achievement. This evening I am having the semi-annual meeting of my company's board in New York, so I have to catch a four o'clock shuttle back. I am very sorry about this, because I would have especially liked to participate in and hear this afternoon's discussion of the National Periodicals Center.

First, then, I would like to read some comments, and then I will open up for discussion. NCLIS has been undergoing some very major changes, both in its composition and in its efforts to take leadership on the opportunity that belongs to all of us, the White House Conference. So I am very pleased to have this opportunity to share with you the Commission's current planning, especially in areas of mutual interest and concern.

As you know, the Advisory Committee of the White House Conference on Library and Information Services has been reconstituted and just held its first meeting. Marilyn Gell, Director of the White House Conference, reviewed with the Committee the latest planning for the national conference. This included consideration of the recommendations received from the states and territories and from the theme conferences. Earlier this year, King Research, Inc., conducted an initial review and analysis of the recommendations from the 35 state pre-conferences. King Research is now integrating this into an analysis process, along

with the recommendations received from the balance of the states as well as any recommendations that result from the theme conferences and the issues identified by the national associations. The Advisory Committee set five subcommittees to deal with the problems of exhibits, delegate orientation, at-large delegate selection, public information, and conference programs. A sixth sub-group was created to deal with implementation and follow-up, which is something we want to start planning right now. The meeting of the Advisory Committee was exciting and successful, and gave the staff needed input to move ahead with final planning for the national conference.

I assure you that the White House conference will be most productive and successful, but support from each of will be important. Each of you knows the delegates and alternates from your state. Please be sure to advise them of your interests and concerns so that they can reflect them at the conference.

There are two areas to which I have given special emphasis since becoming Chairman of the National Commission. The first has been an the improvement in our outreach to the information community and a solicitation of their involvement in our activities. Rightly or wrongly, there is a perception in the information community that the Commission has been responsive to libraries at the expense of the information community, and this perception must be corrected. We have already taken steps in this direction with the appointment of an Information Community Advisory Committee to the White House Conference and with the establishment of a Public-Private Sector Relations Task Force.

The Information Community Advisory Committee to the White House Conference is providing advice and assistance in the area of exhibits, issues, and public information for the Conference. The Public-Private Sector Task Force will work towards trying to determine the delineation of proper roles of the federal government and private organizations, both profit and non-profit, with respect to the generation and dissemination of scientific, technical, business, and other information. They hope to identify present and potential problems in this relationship, to determine what trends and developments are likely to intensify or ameliorate the problems, and to identify policies and/or action that can help to effect more productive relationships between the two sectors. The first meeting of this Task Force will be held June 13-14 in Arlington, Virginia.

The second area of new emphasis in the Commission's efforts — and one that I have been especially enthusiastic about — is the improvement of literacy among the citizens of this country. I refer here to the achievement of functional literacy for all of our citizens. I define this as "the ability to cope with the explosion of information in both print and other media and the ability to make positive use of these vast information resources to improve the quality of one's life." Literacy is the key to creative functioning in a democratic society. Those who are released from our schools without basic skills are as handicapped as if they had lost a limb. We cannot preserve our democratic society if 30 million of our citizens are so handicapped. The library and information services of this nation must take an active rather than passive role in this effort, if it is to succeed. Some libraries and information services are already involved in this kind of activity, but we need to enlist not just a few, but all of them in this crusade against illiteracy.

One area in which the Commission has always been very active has been the problem of resource sharing among libraries. The Commission's national program document recommended the development of a nationwide network of library and information services, utilizing existing services and networks as the foundation. We hope we will eventually assure every individual in the United States equal access to information and resources, regardless of their location, social or physical condition, or level of intellectual achievement. The role of research libraries in meeting that goal is basic. With your vast resources, you are the cornerstone of any cooperative arrangement for the sharing of resources through systems and networks.

With your strong support, the Commission set up a task force to work toward the development of a National Periodicals System which would assure effective access to periodical literature. The report of that task force, adopted by the Commission in May of 1977, calls for a three-level system. I know you are all familiar with the details. The task force's major recommendation was that a dedicated National Periodicals Center, be established. The essential first step was the development of a design plan. The Library of Congress, which the Commission had recommended as the manager and operator of the National Periodicals Center, asked the Council on Library Resources to conduct a study of the design necessary for a National Periodicals Center. The Council's report, which was published last September, provided a technical development plan with specific recommendations for moving ahead with the National Periodicals Center. It also included some new ideas, such as a National Library Board with future responsibility in the areas of preservation, communication, and bibliographic control. As you are all aware, the report has been widely discussed and debated.

The Commission, in its role as a planning and coordinating agency, sponsored an Open Forum on the National Periodicals Center on March 19 and 20, 1979. Participants in The Open Forum recommended that the National Periodicals Center be established with a dedicated collection of upwards of 36,000 periodical titles. They also agreed that any charges necessary to meet the requirements of the copyright law would be included in the payment for photocopies of periodical articles. In addition, they agreed that the dedicated holdings in the private sector would be included in the National Periodicals Center's finding tool. Finally, they called for immediate action.

The Commission's Advisory Committee on the National Periodicals System immediately recommended that the Commission, at its May meeting, issue a statement reflecting the recommendations of the Open Forum. In addition, the Advisory Committee set up a subcommittee to draft a legislative proposal for establishing a National Periodicals Center. As you know, ARL was represented on the drafting committee, along with representatives from the Association of American Publishers, American Library Association, the Information Industries Association, Association of American Universities, Special Libraries Association, National Federation of Abstracting and Indexing Services, as well as members of the Advisory Committee. The drafting team has completed the initial phase of its assignment, and the draft legislative proposal will be considered by the Commission next week.

Our Commission is now up to its full strength of 15 members. Most of these members are new and were not on the Commission at the time the original resolution was passed in 1977. Now, we must act on this very important matter as a Commission. We have to bring everyone up to speed on this, so that the decisions that are made are made by the current Commission. That is the process we are organizing for next week. Our intention is to decide as much as we can, given the reports of the Advisory Committee and our Research Committee. The Commission has three committees which consider its activities. The National Periodicals Center issue was referred to the Research Committee, under the Chairmanship of Carlos Cuadra. Other members are Robert Burns, Marion Leith, and Phil Sprague. The Research Committee spent a full day discussing the recommendations of the Open Forum, the recommendations of the NCLIS Advisory Committee on the National Periodicals System, and the draft legislative proposal. This Committee is prepared to make a recommendation and will start the discussion of this very important topic next week. As you know, all Commission meetings are open to the public, and, if any of you would like to attend, you will be welcome. The results of the Commission's discussion and actions will, of course, be widely communicated.

We are aware that the Council of the National Federation of Abstracting and Indexing Services is meeting during the end of May and is preparing to discuss this issue. In addition, during the month of June, the Medical Library Association, Special Libraries Association, American Library Association, and the Chief Officers of State Library Agencies are meeting. These associations will discuss and possibly take action on this very important matter.

In closing, let me state that the Commission's desire is to do its best to make certain that all of the stakeholders are involved in determining the appropriate means for the effective sharing of periodical literature. All of us would certainly be in a much stronger position if legislation introduced in Congress had the support of the entire library and information community. We need not only the public sector, but the private sector as well.

Thank you for your continuing support and your cooperation with the Commission. I look forward to maintaining a close working relationship with you in the future. I would be very happy to answer any questions you might have.

DISCUSSION

MR. DE GENNARO (Pennsylvania): I am not sure if I have a question or just two comments. My first comment is I think literacy is a serious socio-economic problem, but I do not think it was caused by deficiencies in library service and I do not think it will necessarily be resolved by slight improvements in library services. There are other things that are required, and I would be interested in your comments. But first, I would just like to make another observation: We can appreciate that, because you are a new Commissioner and a new Chairman of the Commission, and because there are a number of new Commissioners, you all have to get up to speed on the question of the National Periodicals Center. But I hope that, in the process, NCLIS does not lose the leadership and considerable initiative that it has had on behalf of the National Periodicals Center during the last three

years. NCLIS has lent very powerful and important support to this concept, and I hope that, in the next few weeks or so, you and your new Commissioners will give this matter very considerable attention. It is an important matter for this Association, for the library community in general, and also for the information community.

MR. BENTON: Well, Mr. De Gennaro, I appreciate those comments. It has been my intention from the very beginning of my tenure as Chairman to carry on the best work of my predecessor and the Commission as it was before, as well as to do some new things. So, I hear what you are saying about the fine work of the Commission on the National Periodicals Center. We are working as a team with the Executive Director on all this, and I hope we can continue to exert constructive leadership on this front.

Sometimes it is good to step back and re-examine basic assumptions. The appointment of new leadership to the Commission -- not only the Chairman but other Commissioners -- gives us just that opportunity to step back and take a fresh look, and that is exactly what we are now doing. We must do this, because, in the end, the decision will be made by the current Commission, not the former Commission. The Commissioners are all responsible. They are appointed by the President to take this kind of responsibility, so they have got to get up and running, and they have to ask themselves the basic questions and start all over again, just as you would if any one of you were appointed to the Commission. That is our duty, and we are going to do it as best we can.

On the question of literacy, let me just make this point: In our conference on federal funding, there were several representatives from Congress who made it very clear that they did not want the White House Conference to come in asking for more of the same, for more support for libraries and information services as they are now constituted, in this era of budgetary constraints. In the wake of Proposition 13 and all of the other things that are now going on in our society, Congress and the Administration will not be particularly responsive to the same requests made in the past. So again, the challenge is to take a fresh look at some of the assumptions underlying the priorities of libraries and information services and the needs that they are trying to meet. Now, in fact, it is very clear that literacy is a national problem. It is a basic need and it is a growing need. How amazing that, in our society of information abundance, this problem of functional literacy is growing. And even though library programs, especially school and public library programs have not seen an attack on literacy as a basic part of their mission in the past, this is a problem where they certainly could help. If we can devise some practical ways to do this, I think we can get a lot of attention with those recommendations. Whether the White House Conference itself gets as enthusiastic about this problem as the people in the sub-conference on libraries and literacy remains to be seen. But, if they do, we would have an opportunity for redefining the role and priorities of some libraries and information services all over the country. I agree with you, Mr. De Gennaro, that literacy has not been in the traditional mainstream of library and information services up to now, but this does not mean that it could not be a very important priority.

MR. SHANK (UCLA): I am Director of Libraries at UCLA and, perhaps gratuitously, President of the American Library Association. Charles, when you get to your National Commission meeting next week, I am sure you will be

informed that the Executive Board of the American Library Association endorsed the Statement of Principles that was discussed at the Open Forum on the need for a National Periodicals Center.

I am glad you mentioned Proposition 13, because it leaves me an opening to talk about leadership for a moment. You will have to recognize that Proposition 13 was approved by the citizens in California after ten years of waiting for the leadership in the state legislature to adjust the tax structure in the State of California. We were told, "Well, there are new legislators all the time, and they have to stop back and examine the whole tax structure," and nothing changed. So the citizens finally voted in Proposition 13. I think it would be wise for the Commission, particularly the new members, to recognize that a number of people have been at work for a considerable amount of time to solve the problem that the libraries represented here in this room have with periodicals. And that is an inability to continue to supply periodical articles, whether in original or photocopy, to the world at large, while at the same time offering the services they are supposed to offer in their own institutions. I do not know how long we have been at it. A number of people in this room would know better, but the problem has been studied and studied and restudied. Progress has been made. We have stopped back a number of times, and this group would probably rise up if I did not say something about my own role in asking this group to stop back a moment and take a look. Just last fall I asked them to please take a little more time for a discussion of the national library agency concept. We must thank the Commission for providing an opportunity to do this during the Open Forum. I am not quite sure what the outcome was on that particular issue, but the issue we wanted to make certain was discussed openly was the need for a National Periodicals Center. We are delighted to see that more and more ducks are in a row on the need for a National Periodicals Center. I think it would be wise for all the leaders in the library community to stop back and think for a moment. We have indeed stopped many times on this issue of a National Periodicals Center. It does not hurt to look a little bit here and there, but we are very close to a consensus among important segments of the community on how to solve this group's problems in this area, and I think we should go ahead with it, perhaps tailoring a bit here and there. I think the plan for an operating facility to provide the resources we cannot ourselves provide is reasonably sound.

With regard to the information community, let me put them into this conversation much as I put in the legislature in the State of California. We are not mindless with regard to that community. The fact of the matter is that a goodly segment of the information industry community has for years derived a considerable amount of its financial support from the representatives in this room. The subscribers to most of the hard copies of indexing and abstracting services sit here in this room. Hundreds and thousands of dollars are going into that community from the representatives here in this room. It is also true that we are not going to put them out of business. But we are tired of waiting for answers which are not coming from that community. We waited for somewhere between 11 and 14 years to get them to work on an alternative mechanism relating to the delivery of periodical articles before finally coming to grips with the revision of the Copyright Law. I just do not think our community can wait any longer for this operational device we now call a National Periodicals Center. The gist of my comment is: Yes, examine, but remember that a considerable amount of work has already been

done and that a lot of studies already in existence back up our particular decision to support an operational device which might solve this problem right now. Thank you, Charles. (Applause)

MR. BENTON: Well, I think you have all said "amen" with that applause. Look, I understand your passion for this idea. We will try our best to be responsive, but, Russ, this is a decision that the Commission must make as a whole. When I came on as Chairman-designate last summer, the Commission was down to seven members. We had not had any appointments for two-and-a-half years. That is not a very good way to run any kind of commission, but it was, of course, due to the transition of the Administration. The fact remains that the current Commission has to be the one to make this decision, and the majority of current Commissioners are new. They have not participated in this discussion before, so we have to get them up and running on this. Whatever decision we make will be and must be the decision of this current Commission.

Let me just say one more thing about California and Proposition 13: In terms of services that the citizens of California would be willing to cut, if I am not wrong, some surveys indicated that library services were next to the last among those that Californians would keep. Is that not correct? Next to the last! Out of fourteen priorities, I think it was thirteenth. I would be very interested to hear your reactions to this, and then I will make a point.

MR. SHANK: Well, Charles, I am not sure I can comment with as much apparent exactness as you have about what the citizens of California said. The fact of the matter is, a large survey conducted by the Los Angeles Times indicated that the citizens would put libraries either fifth, sixth, or seventh in a list of 17 or 18 priorities, just behind police, fire, roads and garbage. When it comes to the politicians, they put libraries down, not the citizens. The fact of the matter is that they may yet hear again from the citizens of California about library service.

My approach in California has been to make speeches and publish to the extent that I even have Howard Jarvis interested. In one comment he said, "What do you need libraries for, two-thirds of the citizens can't read anyway." You and I share an answer to that one, Charles, I hope. I said that is the best argument for a library, rather than an argument to kick libraries out. Where else can people go when they are too old, too tired, too busy, or too embarrassed to learn how to read, but to a library. The American Library Association is helping in this by training trainers to help teach people to read. We cannot train the whole world, so we train a few people who can go out and do it.

The citizens did not vote to cut any services in California. They gave a message to legislators to restructure the tax take. Unfortunately, everything seems to be exceedingly important, so the legislators do not know exactly where to make these cuts, and they make them where they can. Vested interests come into play, so that, as a matter of fact, fireworks manufacturers and chambers of commerce got more subsidies in California than did libraries, which says something about who talks to politicians. From now on, we are going to try and raise the attention of legislators in California so that, when we go in along with the fireworks salesmen and the chambers of commerce, our argument will prevail over theirs.

MR. BENTON: Terrific, Russ, I could not agree with you more. You are, as I hoped you would, responding in such a way that it feeds directly to my reason for raising this point about Proposition 13 to begin with. You have been attracted yourself to the potential of attacking the problems of literacy through the library systems. Perhaps, in the redefinition of some current library programs and priorities, we can generate more public support.

MR. WYATT (Alabama): I think all of us here, Mr. Benton, will support the idea of improving the level of literacy among our patrons. As a matter of fact, that is really what libraries are all about. But the Commission, and you yourself today, have addressed yourself primarily to the functional literacy level. I hope that the Commission and the White House Conference will remember that there are many different levels of literacy. ARL is basically concerned with literacy at what might be termed the "research level", that is, a rather high level of literacy. While we want to be supportive and help out at the lower levels of literacy also, we do not want to do that at the expense of our level of literacy. This is why we want support for the National Periodicals Center, for example.

I am also very deeply concerned about the White House Conference and the representation that this level of literacy is apt to have there. It does not appear to me that the research level of literacy is going to be very well represented. The needs of our patronage groups will not be well represented there, and I would like to know whether, at the same time you are compensating the information industry for some lower level of representation, you might also consider the research library level representation at the White House Conference.

MR. BENTON: That is a very good point. Let us talk for a moment about the structure of delegate and alternate delegate selection at the White House Conference. As you know, our law and the decision of the early Commission, which we have lived by, say that there should be two-thirds representation from the general public and one-third representation from professional groups. The White House Conference is not meant to be another professional association meeting. There are lots of excellent professional association meetings, such as this one, going on all the time. The idea is to try to involve the general public in addressing this area and the problems and potentials in it. I like to call them "community representatives vs. professional representatives".

If you have specific suggestions, or if this Association has specific suggestions, we now have a White House Conference Advisory Committee. We have a Subcommittee on Delegate Selection which met all afternoon on the day before yesterday and gave its report yesterday morning. The basic thrust of that Committee's report was that we should systematically analyze, insofar as this is possible, the composition of the delegates and alternate delegates that have been chosen by the states to see where the holes are, to see where we are weak, to see where we are missing representation, and then to plug up those holes as best we can. That is the commitment we have made. I am sure that, whatever decisions we make, we are not going to please everybody, but at least that is the process. We now have a subcommittee of the White House Conference Advisory Committee that will be reviewing names. We have a lot of names in the files now, and we are going to be soliciting additional names.

MR. ROCHELL (New York University): I really want to pose my question as a delegate to the White House Conference from New York. I have listened to your comments. I have also listened to a rather eloquent, perhaps even impassioned statement from the President of the American Library Association asking us to recognize that history is made every day and that institutions are fairly stable in their long term positions. I have two comments. One, as a person who has spent most of his career in the public library arena, I would like to say that literacy concerns in libraries are not a new thing, even in basic literacy. In saying that, I hope that the Commission stays aware that every segment of the library and information world has a particular and vitally important part to play in that total process which you say is so extremely important, that being the whole national bibliographic structure and the delivery of information services to the nation.

Now to a question as a delegate to the White House Conference: The New York delegation has felt somewhat perplexed in recent weeks by the signals about how the decision-making process is going to proceed. Part of it, I think, is manifest in one of the statements that you made this afternoon. You say, relative, for example, to the National Periodicals Center that "this Commission as presently constituted must decide." I would like you to elaborate, if you will, on what you mean by that. What do you mean by "this Commission must decide"? Decide what, and to what end?

MR. BENTON: That is a very fair question. As most of you know, we had some arguments earlier this year about staff leadership. These arguments were resolved by the Commission in executive session. From the way those differences were resolved and from subsequent meetings we have held, I think one thing has become very clear. That is, the fifteen members of the Commission are, in the end, going to make the basic policy and operational decisions about the affairs of the Commission. Our position vis a vis a National Periodical Center must be established by that fifteen-member group. They must make that decision based upon the recommendations made first by our Advisory Committee on the National Periodicals System and second by a Research Committee, to whom that specific problem has been assigned. The Research Committee will be making a report and recommendations to the Commission for its overall consideration next Friday morning.

I am trying to give you some insight into the process of our own decision making. As Chairman, I am not going to make the decision on the National Periodicals Center. Our Executive Director is not going to make that decision. No other single member is going to. In the end, it must be a vote and a decision by that fifteen-member body. That is what I mean by, "The Commission will make that decision." We have to thrash it out among ourselves. I mean that only in terms of the Commission's official stand, of course. You take your stands in your own way. I am sure your organization has its own internal decision-making processes for making policy decisions and saying what your organization stands for.

MR. ROCHELL: You have answered half the question. That is how you will make the decision. Perhaps you are getting at the rest of it, that is, that there are an awful lot of constituencies, an awful lot of organizations, and an awful lot of special and other interests that are moving toward a solid posture on this whole

question. I think Russ has pointed out rather accurately that many very important blocks of the library and information community are moving to a position or have moved to a position in support of this. I guess I was attempting to have us clarify together the Commission's relationship to all these other constituencies.

MR. BENTON: We have to be responsive. We have to be responsive to the Association of Research Libraries, and we have to be responsive to all the other stakeholders in this problem. One of the potentials of the Commission, perhaps unique in our structure, is that we report directly to the President and the Congress. The fact that we have direct access is an opportunity, and it is also a very heavy responsibility. We have to make our decisions and exercise our leadership role in meeting a major need like this by trying to build a consensus, so that we do not get embarrassed by surprises in Congressional hearings. That is just the kind of thing we do not need. We are trying to build towards a consensus on the assumption that access to periodical literature is a basic need and that this institutional means of addressing that need is as good a way as can be found.

MR. LUCKER (M.I.T.): I am sorry you are not going to be able to stay around for the remainder of our discussion, but I would hate to see you leave here with the feeling that we represent only the constituency of our faculty, students, and research staff. We are, in a sense, the source of information for a much larger group of the population. This is the kind of literacy that Jim Wyatt talked about and that I feel very strongly about. The research libraries in this room represent the major source of information for a large population in this country. They supply a tremendous volume, for example, of interlibrary loan traffic. We also represent a tremendous source of information for people in the business and scientific community who either do not have libraries or do not have adequate libraries. For these people, the concept of a National Periodicals Center is as important as it is for the people whom we serve directly. In talking about the information industry and the private sector, we should be aware that there is a group in the private sector which does not produce information, but which consumes it to a great extent. In a large way, we represent the source of information for these people. I just hope you realize that, when we talk about research libraries serving a community, we are not just talking about our own resident community, but the much larger community in the world around us.

MR. BENTON: I think that is a marvelous point. That point came up in our lunch discussion as well. That is the kind of point that, if and when it comes to trying to sell this to Congress, we ought to articulate in a more than casual way. In a real sense, it relates to America's competitive position in the world. The knowledge base of our country and how we use it are as critical to our security as all the SALT stuff they are talking about. That is fundamental. I agree with it, but how can that be articulated so that Congress can get excited about it? That is the question I think you should ask yourself.

MR. LORENZ (ARL): You were talking at lunch about the new task force you are setting up on relations between the public and private sectors. Would you tell the membership about your plans for the composition of that task force, which could be very important, and comment on the possibility that a research librarian might be represented on that task force.

MR. BENTON: Yes. I think all of you are struggling in your own way with this problem, just as we in the Commission are struggling with it. Governmental interests, the private, not-for-profit interests, which most of you represent, and the private for-profit sector all have to figure out more effective ways of working together toward common goals, toward reducing tension and frictions, and toward identifying those specific problems that hamper the harmonious working together of those interests. Under Al Trezza and Carlos Cuadra's leadership, we are now setting up a 21-member task force to do something about it. At present, we envision a research committee with seven government-related members, seven members that are related to the private, not-for-profit sector, and seven that are private-sector industry or publisher related. We have sent out the invitations and have fifteen or sixteen acceptances so far. We will get that structure set in place, and the group will have its first meeting in mid-June. I think, potentially, it is one of the central problems where we can make a contribution as a Commission. I do not see anybody else setting up a structure to try to address those issues on a high level.

MR. DAGNESE (Purdue): I am from Purdue University, and, perhaps gratuitously, President-Elect of the Special Libraries Association.

MR. BENTON: Wonderful. Congratulations or commiserations, I am not sure.

MR. DAGNESE: I take after my good friend Russ. I have two comments to make. First of all, as I know you already have been informed, the Special Libraries Association has already taken a position in support of the National Periodicals Center.

MR. BENTON: You will be pleased to know that Shirley Echelman is one of the members of our White House Conference Advisory Committee, and I believe she was former President of the Special Libraries Association.

MR. DAGNESE: That is correct. Following up on what Jay Lucker said, in fact he is absolutely right. The reason why the Special Libraries Association was, I believe, the first to support the concept of a National Periodicals Center was because they understood the interrelationship that exists between the research libraries and special libraries.

The second point I would like to make is that I have been personally yelling around the country for the last year that the National Commission has, in fact, indicated that there ought to be a study of the private sector. I am delighted to hear that a group is being formed.

Until I see the list of task force members, it will not be clear to me what the Commission means by "the private sector". Again, as Jay pointed out, the private sector could mean only those who are producing information as part of the private sector, or it could mean, in terms of the Special Libraries Association, the users within the private sector, whether or not they are for-profit or not-for-profit organizations. This is of great concern to the 11,000 members of the Special Libraries Association.

MR. BENTON: Terrific.

MR. ATKINSON (Illinois): On the same topic, our faculty borrows a fair amount to support research in basic genetics. Mr. Alexander, in fact did basic research 30 years ago which enables you to wear what you are wearing, to eat what you eat, and to eat it well. He is a heavy borrower of periodicals. In the profit making sector, he deals with businesses that make a hell of a lot more money than the information industry and that contribute a very high portion of the gross national product. The private information industry segment that you have been talking about represents an infinitesimal part of the gross national product. I would suggest that, when you talk about the private sector, you see it in terms of GM and the large companies, Archer Daniel Midland or Staley in our part of the country, Boeing in Washington, and Lockheed in California. It is not just those who sell books.

MR. BENTON: Of course, not. That is our conception. Al, maybe you might want to talk about this point. We have been sensitive to this area.

MR. TREZZA: All I wanted to do was make a comment. Our Chairman has very good ties with people at the White House, and he has been using them very effectively. In addition, he has been working very closely with some of our leaders in the Congress. Just recently, he sent a letter in the name of the Commission to the Chairman of the Appropriations Committees of the House and Senate, strongly supporting at least the minimal 1979 appropriation level for HEA as well as LSCA and ESEA. We have also just sent a letter to Al Stern, a White House counsel, urging that the Administration reconsider its position and support that level. We also sent it to the person there responsible for ESEA. I want to make sure the group knows the Commission is taking a stand on existing legislation, which is in keeping with supporting academic research libraries as well as public libraries. Finally, we are going to submit a statement supporting the renewal, extension, and revision of HEA. I will be glad to share our draft ideas with John Lorenz and your President, to get any input they might give to help make that letter effective. I just thought you ought to know that Charles has been giving us leadership as well.

MR. BENTON: Al, that is very nice. That is a marvelous note on which to end my comments. I brought an extra set of these letters. I believe it is the first time the Commission has sent such letters to the Chairmen of the Appropriations Committees in the House and Senate. Anyway, we have added our voice to the chorus.

It has been a great pleasure for me to share these thoughts, to hear from you, and to understand some of your concerns. I hope we can do this again some time. Wish us all luck next week. Suzanne Frankie is going to be representing your interests at the Commission meeting. We will be very glad to have her there next week. So thanks, glad to be here.

MR. ANDERSON: Thank you, Mr. Benton.

Report of the Committee on a National Periodicals System

MR. SCHMIDT (SUNY Albany): I will say that I hope this group is all talked out on the National Periodicals Center, in which case I will be here only five minutes. I am going to read a brief report, and then I will ask you to act on a motion which will involve your endorsement, in principle, of the draft legislation on a National Periodicals Center that was sent to you by the ARL Office last week. What I am going to read you is simply a formal report that will recapitulate the developments that have occurred since I stood here before you last October and peddled the Statement of Principles for the National Library Agency.

Since our 93rd meeting, there have been a number of developments which have either enhanced or inhibited progress toward the establishment of a National Periodicals Center. After our meeting in October, the Statement of Principles for Congressional Action to Establish a National Library Agency, which we endorsed, was discussed by the Legislation Committee of the American Library Association in November, during which meeting that Committee also discussed the Technical Development Plan, which had been prepared and published by the Council at the request of the Library of Congress. The ALA Legislation Committee did not endorse the Statement of Principles for a National Library Agency. Instead, it was decided that the ALA Executive Board would be given a presentation on the NPC during the 1979 mid-winter conference. As a result of this presentation and some further discussions, NCLIS agreed to sponsor an Open Forum, to which all interested organizations were invited to send representatives. The Open Forum was held on March 19 and 20, 1979. The representatives there reached a consensus regarding the drafting of legislation to establish an NPC. I may say at this point that I want to thank the nearly fifty ARL libraries whose directors or staff members attended that open forum. I think it is fair and reasonable to say that our presence there made a vital difference between the Forum having a conclusive rather than an inconclusive outcome. As the last hour demonstrated far more clearly than I could have, there is, nevertheless, an awful lot of hard work ahead. We will have to call on you to help us, beginning with those of you who live next door to Commissioners, I am afraid.

What I want to do now is present a resolution. The resolution is as follows:

"In reaffirming its 1975 action supporting the immediate establishment of a National Periodicals Center, ARL endorses, in principle, the legislation, prepared by a drafting committee working under the aegis of NCLIS, for a National Periodicals Center. We encourage other library and education groups to endorse this legislation, and we urge its introduction at the earliest possible moment."

The legislation to which I refer is the draft that you received from the ARL Office, dated April 26. That is the resolution, and I move its adoption.

MR. ANDERSON: You have heard the motion. Is there a second? (several) Do you wish to discuss the motion?

MR. SCHMIDT: By way of information, I will report the following endorsements of similar resolutions concerning the same draft legislation that have already occurred. The AAU Committee on Research Libraries and the AAU membership have endorsed, in principle, the draft legislation. The Center for Research Libraries Board and Council have endorsed the draft legislation. I understand from someone here that the Association of Graduate Schools is on board with the draft at this point. Although they did not act per se on the draft resolution, Russ also referred to the fact that the ALA Executive Board had endorsed a statement which representatives had read during the Open Forum. They are supporting the preparation and introduction of legislation to establish a National Periodicals Center.

MR. BARRY (National Library of Medicine): I would like to make a brief statement. The National Library of Medicine has no objection whatsoever, and we did vote during the last meeting in support of the National Periodicals Center. However, given the draft legislation in its present form, we would have to abstain from a vote. We will have our comments in by May 25.

MR. ANDERSON: Thank you. Any other comments? Are you ready to vote? All in favor of the motion signify by saying "aye." Contrary, "nay."

(The motion passed.)

MR. SCHMIDT: I want to repeat one observation that I made before you voted. That is, I think it is obvious that this is not the end, but the beginning, of a very tough road. We are going to need all of the time, energy, and muscle that we can bring to bear on this question. We have made substantial progress since I stood before you last fall, in that we have a far better consensus within the library community on the legislative question than we had at that time. But the legislative processes, which we hope to activate some time this summer, are processes which will require our energy, our attention, and a lot of hard work. I hope you will respond, as many of you have so far, to help us move it down the road when the time comes.

MR. ANDERSON: Thank you, Jim, for your hard work. It has been a really successful effort. Now we turn to the report from the Executive Director, Mr. Lorenz.

Report of the Executive Director

MR. LORENZ: Thank you, Lee. It has been another busy six months, but, since time is short at this meeting, I will just hit a few highlights. I do want to have you hear from a couple of people who can report more thoroughly on their topics than I.

First, this is the six-month period in which we have reviewed the proposals for the second round of Title II-C grants. In addition, during this six-month period

the House of Representatives began considering the reauthorization of the Higher Education Act, including Title II. Before I go any further, we are fortunate to have with us Dick Hays, who probably has more current information on both of these items than anyone else. I would like to ask Dick to tell us as much as he can about the review of proposals and the reauthorization of HEA Title II.

MR. HAYS (HEW): As John indicated, this is our second go-round with the Title II-C legislation. We find this program very exciting, and it also seems to have the support of the Administration. In fact, it is the only component of the Higher Education Act dealing with libraries and information services that has had Administration support this year. We have completed the review by a very fine panel. I must say that the integrity of making these awards is most dependent upon the quality of people who serve on a panel, and we have been fortunate to have people, a number of them sitting in this audience today, whose help has been invaluable. It is very difficult to decide which of the many, many fine proposals should win. Just to give you some statistics that you might find interesting, we had 101 proposals a year ago; this year we received 87. When you total all of these up, the 101 applicants last year requested \$27 million. This year's applicants requested \$25 million. As you know, our Federal Register announcement says we will fund approximately twenty requests. I might just review why we have established the policy of approximately twenty. The fundamental principle, which the Commissioner and the Undersecretary feel very strongly about, is that the limitation to twenty will provide enough money to each institution so that it can do a good job. We would rather do this than provide small grants which would just give everybody half a loaf. We say "approximately" because we would hope that we will have the flexibility to see what type of proposals we receive. Some years that means there might be eighteen, the next year it might mean we ought to fund twenty-five. The big question in peoples' minds is, of course, "When do we hear who won?" That will be by the end of June. A number of the proposals that will be funded this year are continuations from a year ago, and those nine fortunate bodies know who they are. The process for their negotiations will probably begin some time in June. We will let them know exactly when that will start.

John also mentioned the Higher Education Act reauthorization. There has been a task force in the Office of Education and the Office of the Secretary taking an overall look at the Higher Education Act. I have been fortunate enough to serve on the group that has been concerned about HEA II-A, II-B, and II-C, all of which are related to libraries. The process we have used this time has been quite gratifying compared to the one we used several years ago. It has included very open discussions with many people and with many groups. Some of you may indeed have appeared at the public hearings that were held around the nation. The Commissioner also has spoken to various groups, and we have had the opportunity to bring people into Washington from time to time for further conversations. So I do not think our thoughts, concerns, and issues, have been a secret this time. Nevertheless, I would just like to share our thinking with you. This thinking is becoming very firm, because the Secretary would like to move the Administration's proposals forward in the coming months.

Title II-A has had very little support from past administrations, mainly because it just provides money to everyone who applies. The feeling is that, this

time, if the money can be more carefully oriented toward those who most need it, the Administration would be willing to endorse legislation along those lines. But we do not want to have it continue to run as it has in the past. We would much rather find some criteria of need so we can be a little more discriminating about who should receive support from II-A. The criteria one would develop for "need" is a very sticky wicket, so it is an area in which much thinking and planning must take place.

Higher Education Act Title II-B, research and demonstration, probably will continue receiving some support, perhaps with a broad gauge, omnibus charter similar to the one it presently has. II-B training institutes and scholarships would again receive support with only minor tuning, with the emphasis being on fellowships for those who would never have the opportunity to get into the field of graduate library training if it were not for such fellowships. The other part this Title would emphasize is continuing education. There are many people out in the field that need training, especially since we work in an arena that is literally exploding with new technology. We would like to provide a little money incentive to keep the institutes growing so that people in the field will have an opportunity to upgrade themselves too.

Title II-C probably will not be changed significantly. If any changes are made, they will probably represent only some degree of fine tuning. Then we have been thinking of developing a way to support some of the newer and more all-encompassing things that you have been talking about today. The Commissioner and Secretary are very excited about your ideas dealing with national economy and efficiency, and perhaps, if all of these forces and interests come together, even national economy and efficiency will take on more precision. If there is a great deal of support in the library community for a National Periodicals Center, we will be happy to hear about that.

MR. LORENZ: Thank you, Dick. Specifically, in testifying before the House Education and Labor Subcommittee on Post-secondary Education a couple of weeks ago, Carlton Rochell spoke about Title II-C, and was quite specific in recommending that a new Title II-D be considered by the Committee to provide funds for a National Periodicals Center. This elicited some comment and questions from Subcommittee Chairman Bill Ford. In addition, his staff has also been consulted on the possibility of moving National Periodicals Center funding into Title II of the Higher Education Act. So, we are beginning to generate some interest and support through that method. As Jim Schmidt pointed out, it is going to take a lot of hard work on everyone's part as this planning moves forward.

In another area, you have been hearing that getting appropriations under any of the legislation for library grants is going to be difficult in fiscal 1980. We are very fortunate that the administration did recommend \$6 million for Title II-C in the President's budget, but we will have to be very careful to maintain the appropriation at least at that level. There are still grave possibilities that the zeroing out of Titles II-A and II-B may be very difficult to reverse, and we will join in trying to get some funding restored to those Titles. I have never seen Eileen Cook as concerned as she is this year about restoring funds for Titles II-A and II-B. This message reminds me a little bit of the Washington representative who sent a telegram to his membership saying, "Start worrying, letter follows."

There have not been many new developments on the copyright front, and I think we can skip that topic this time. I have not heard of any suits being brought against any libraries for library photocopying. The Register of Copyrights' committee to study the five-year review of the library photocopying problem is still moving along very slowly, so I think this is sort of on ice for the time being.

We are very pleased at headquarters with your response to the library cataloging cost model project, which King Research will administer. As of a few days ago, sixty-eight libraries had indicated their interest in participating in this project. The dates for the workshops remain the same, June 4 and 5 and September 10 and 11, with completion of the project by September 30, 1979.

There has been another positive development of a different sort, which I believe has been in gestation for over five years. That is the Report of the National Enquiry into Scholarly Communication. Jim Haas and John McDonald have been on the advisory group to this project from the beginning, and I think this is a good opportunity to ask John to tell you a little about the Report.

MR. MCDONALD (Connecticut): You have just become used to the plum or purple book, and now you will have to get used to the green book. I realize you are on a somewhat tight schedule, Lee, but I did feel, as I looked for the first time at the report, that it was an important and very appropriate topic. I think you will see the relationship as I talk a little bit about it.

On Monday of this week, the National Enquiry into Scholarly Communication released its final report at a press conference in New York. Many of you have seen the front page story in the Chronicle of Higher Education, which reviews that report and reprints its central conclusions and principal recommendations. The full text of the report is now available from the Johns Hopkins University Press, at a modest price of \$3.95. I understand that the ARL office will send a copy to each member library.

MR. LORENZ: We have provided mailing labels to ACLS. It is cheaper that way. Each one of your libraries will receive a copy direct from ACLS.

MR. MCDONALD: So, you do not need to rush out and buy it this afternoon. As you know, the report of the National Enquiry has been several years in the making. You will recall that the Enquiry was funded by grants of \$300,000 from the National Endowment for the Humanities and grants of \$100,000 each from the Ford, Mellon, and Rockefeller Foundations. It was conducted under the auspices of the American Council of Learned Societies and guided by a governing board of 24 persons, representing scholars, publishers, editors, librarians, and others close to the scholarly enterprise. I will resist my tendency to be further retrospective and will, therefore, avoid giving a refresher course on how the Enquiry got started and how it reached the successful conclusion that I believe the publication of the final report represents. Let me only remind you that, at the ARL meeting in Houston in 1975, Ed Booher described the goals of the Enquiry, which he was later to direct from its inception in January of 1976 until last summer, at which time David Breneman of the Brookings Institution and Herbert Morton of Resources for the Future, both members of the governing board, finished up the project and wrote the final report.

What is important to know now is not how the report came into being, but what it says about the system of scholarly communication, and, in particular, how its recommendations relate to research libraries. It may surprise you to discover how much the report has to say about libraries. Its first recommendation relates closely to this morning's program. It calls for the creation of a national bibliographic system, though I will not go into the details at this time. Recommendation 2 supports the establishment of a National Periodicals Center. Recommendation 3 proposes a national library agency, to help plan and bring about the purposeful development of the national library system. Recommendation 4 deals with controlling journal growth. Number 5 is concerned with economies for small journals, Number 6 with the Copyright Clearance Center, Number 7 with the market for books abroad, and Number 8 with the role of the universities without university presses. Item 9 concerns a broader role for foundations, Number 10 recommends collaboration in fulfillment of orders for scholarly books, Number 11 the establishment of an office of scholarly communication within the National Endowment for the Humanities, and Number 12 the intelligent use of technology. In short, it is clear that the weight of the inquiry is on the importance and centrality of libraries in the system of scholarly communication and of the importance of moving quickly and forcefully to assist libraries to do their vital work.

From the point of view of research libraries, then, the significance of the report lies in the fact that a broad cross section of the scholarly community, as represented by the governing board, came to appreciate the situation in which libraries find themselves. Accordingly, it agreed to lend its name to a document which not only gives great prominence to the problems of research libraries but also offers several far reaching suggestions for addressing those problems. At last, librarians have support from important groups of library users. At last, we have powerful allies speaking for and working with us. What we have known for some time and what we have been discussing for so long, largely among ourselves, unfortunately, has now penetrated to the other scholarly estates.

We must now do what we can to broaden and sustain the interest and attention we now enjoy. I suggest that each of us make sure that scholars and administrators on each of our campuses are made aware of the report. Beyond that, we should familiarize ourselves with its findings and recommendations and be prepared to dramatize and augment the report by pertinent local examples, as opportunities arise. It is, perhaps, unfortunate that the report comes out now, at the tag end of the academic year. We may need to take steps to revive interest in it when the new academic year begins next fall. Perhaps ARL will want to deal with the report at its October meeting, as John has already suggested. Further, some effort should be made to place appropriate recommendations on the agenda for the White House Conference. In short, we should not let the report suffer the fate of so many similar studies, that is to say, to die of neglect, benign or otherwise, and become a statistic in some library school student's research project in the year 1999, that statistic indicating that the report had never circulated since it was put onto the shelves in the summer of 1979.

MR. LORENZ: Thank you, John. I think we should underline the fact that this report, which comes from the scholarly community, includes such a depth of interest in the problems of research libraries.

On the White House Conference, I would just like to get a show of hands on which of you will be delegates to the White House Conference. I see about five. Very good. So we will be heard at the White House Conference to some degree. Also on that topic, ASSS has received a grant from the National Commission on Libraries and Information Science to hold a series of three meetings with representatives of all of the associations interested and concerned with the White House Conference. ARL will be participating in this series of three meetings, two to be held before the White House Conference and one to be held on implementation, after the White House Conference.

In conclusion, I want to express for the staff our regret that Suzanne Frankie will be leaving us. We can hardly talk her out of it, since her main purpose will be to obtain an advanced degree, a Ph.D. This being a research organization, we can hardly be against that. We also want to welcome Carol Mandel, better known as Mandi, who is already with us and is learning just as rapidly as she can the duties and responsibilities of her job. Why don't both of you stand for a moment.

In addition, I want to again express my appreciation for the membership's continuing communication with headquarters and cooperation with our efforts. I particularly appreciated Jim Govan's specific suggestions on our conferences and on what we should include in our newsletter. The more guidance we can get from you on what you want from us, the better we can serve you. We thank you all for your efforts today.

MR. ANDERSON: Thank you, John. The next report from the staff is from the Director of the Office of Management Studies, Duane Webster.

Report on the Office of Management Studies

MR. WEBSTER: Knowing that I would appear rather late on the program and that you would be rushed for time, our Office compiled a brief summary of its activities during the last six months. I will rely on that to give you a good view of the status of our programs at this point. I would also like to recommend that, if you have not had a chance, you should look through the OMS Annual Report (Appendix B) covering 1978. That is a much more detailed and exhaustive review of the Office's activities, and I hope that both you and your staff have a chance to see what is available there for you.

In my report today, I would like to emphasize some of the directions we are taking with our Academic Library Program. As you know, this program is a consolidation of the various self-studies we have been working with over the last year, and it includes, in addition, a new effort aimed at identifying outstanding librarians and preparing them as consultants for academic libraries.

Within the program study component of the ALP, we currently have three comprehensive study procedures available for use in research libraries. There is a management study, a collection study, plus a more comprehensive program study which we refer to as the Academic Library Development Program. However, because we recognize that those programs require a large commitment of staff

time and energy, we are now developing a series of study modules that will take pieces of these comprehensive programs and apply them to specific issues you would like to address internally. For example, we recently compiled a resource notebook on library organization. We did this in the belief that, while you might not be able to conduct a comprehensive management study covering issues like management information systems, budgeting, staff development, personnel, and supervision, you might well be able to focus on the reorganization of one area of the library, such as technical services. With these notebooks, we are attempting to bring together groups of study procedures which enable us to tailor-make studies that you will be able to handle in your library with the time and resources that you have available.

In another area of the ALP, I would like to give you a brief review of the consultant training program. We have had a very fine response to our initial effort to identify outstanding librarians to serve as the consultants in that program. We have been working with an advisory committee to formulate a selection procedure which will enable us to develop a pool of talented people through applications and nominations. I have been very pleased with the extent to which ARL directors have been nominating some of their outstanding staff and, beyond that, giving me and other members of my staff personal recommendations on some of those applications. Your advice will be of great help in making these selections. After we have developed that basic pool, we are going to be conducting a series of regional interviews to narrow the group to thirty or so outstanding people. These people participate in an assessment workshop, where they will be 1) confronted with situations that typically face consultants, 2) asked to make decisions and solve problems, and 3) work with their colleagues in an assessment workshop setting. During that process, we will pick ten or twenty people who will be able to serve as the first class of consultants. I hope that selection process appears rather rigorous to you, because we want to be very sure that we do in fact do get the best people to participate in this opportunity to secure some specialized training in consultation. Over the next five years, our goal is to identify and prepare one hundred library consultants. The first year, our target is ten to twenty people.

For the individuals selected to work with OMS as consultants, the training program itself will start this fall. It will begin with a two-week consultation skills workshop, followed by one year of practical experience. Our prospects in this endeavor have been enhanced by three people who have been working with us during the last year as co-consultants on some of the collection studies we are conducting. These three people had been chairpersons of previous collection studies we had done in their libraries. Through them, we have a chance to test some of our ideas on what should go into the consultant training program we will be conducting for the first class next year. The three people that are already in the program are not part of the first class. At this point we have not yet made any final selections for the first class. We expect to do that from the pool of applications and nominations we are developing now. I might pause to see if there are any questions concerning that particular program, since it is a new program and I have had a number of inquiries concerning how we are going to handle the selection process, whether we have made the selections, and what the training will involve.

I would also like to comment briefly on the advisory relationships we maintain with the OMS Advisory Committee and the ARL Board. As you know, the Office

relies extensively on the OMS Advisory Committee for assistance in developing annual priority statements, developing programming plans, and in securing a sense of whether we are dealing with the right issues and whether we are dealing with them properly. The OMS Advisory Committee has expanded to six people, to allow broader coverage of the ARL membership. The current Committee consists of Frank Grisham, Millicent Abell, Irene Hoadley, Page Ackerman, Louis Martin, and William Studer. I mentioned those names deliberately in the hope that, if you have suggestions or comments on OMS programs, or, for that matter, on anything of interest to the Association in the management area, you would contact those people or the OMS staff.

Let me say one more thing. My friends over at the Council asked me to mention to you the CLR management internship program. This is a program of direct benefit to research libraries, in that it develops a pool of management talent from which the leadership of research libraries will be selected in the future. At present, this program is experiencing difficulty in attracting outstanding applicants. It seems to me that, if research libraries want to have that type of program continued for their benefit, ARL directors must take an interest in it and promote some of their best people for participation in that program.

Report of the Committee on Interlibrary Loan

MR. LUCKER (M.I.T.): As most of you know, I have been serving as an ex-officio member of the ALA Interlibrary Loan Committee. Approximately one year ago, the Committee received approval from the Board of the Reference and Adult Services Division to proceed with a revision of the National Interlibrary Loan Code. Since that time, a subcommittee on code revision has been appointed, and I have been appointed as a member of that subcommittee as well as a member of the main Committee. The subcommittee has met three times, once each in November, January, and March. We have drafted several versions of a revised code, and I now have in my hands what we call "draft No. 3." This is the first to be made public, and today is the first time, to my knowledge, that anybody in the country will hear what the principal recommendations are.

Ten thousand copies of the draft code will be printed by the American Library Association. I do not have copies of the draft code to give out today, but you will be getting a copy shortly for distribution and discussion. We have arranged to have a hundred-plus copies delivered to the ARL Office, and a copy will be mailed to each of you within the next two to three weeks.

During ALA in Dallas, the Committee and the interlibrary loan discussion group will stage a two-hour open forum for people to express their views about the revised code. Following that, we will expect to receive written and telephone comments, probably even graffiti, subsequent to which we will try to incorporate these into another draft. It is my hope that, in October, I will have a place on the meeting agenda for a discussion with ARL directors on the substance of the code. I also hope that, in May of 1980, the ARL membership will vote on the code.

In preparation for revision, I wrote to all of you, asking you to comment, either directly or through staff members, about what elements in the national

interlibrary loan code you would like to see changed, added, or deleted. As I reported earlier, the number of comments was substantial, and the range of opinion was wide. Of course, we represent only a subset of the people concerned about the code. The Committee has members from public libraries, state agencies, college libraries, and other interested groups, and the attempt has been to try to merge us all together.

In the next few minutes, I will try to give you the principal changes that will differentiate the new code from the existing code. I will not try to read the whole five-and-a-half pages. I will just pick out the main emphases. At this time, I would hope to avoid a discussion on content. I will be glad to answer any questions about methodology and scheduling, but I would rather reserve any comments on substance until our next meeting, or, for those of you attending Dallas, until that meeting. The code is designed to cover interlibrary lending both among research libraries and between libraries operating outside of networks or consortia. It is not intended as a means of regulating interlibrary loans within consortia, networks, or states. The code deliberately states that. Those codes should be deliberated separately and may, of course, be more liberal or more restrictive than the national code. The code will have appended to it model state, regional, and local codes, which will also be revised.

The introduction to the code develops its philosophy. We divided up the labor of drafting the code, and I had the responsibility for doing the introduction. The introduction emphasizes the need for libraries to develop their own collections. It emphasizes that interlibrary loan is an adjunct to, not a substitute for, collection development in individual libraries. It also emphasizes the desirability of libraries exhausting local, state, and regional resources before going outside of those particular networks. There is a statement in the introduction, which might be rewritten in form but not in intention, which emphasizes that interlibrary loan is a privilege, not a right. As research librarians, I believe we must consider this an important part of the code.

Among the specific changes, we have, first of all, deleted any indication that borrowing for undergraduates is not acceptable. The general tenor is that there should be no restrictions on the status of the user, although the lending library may set up its own criteria. Of course, the purpose of interlibrary lending at this level should be for research and serious study. We have added the words "serious study" to accommodate the needs of the general public, for whom the word "research" may not be definable.

We have also taken out a paragraph which, in the old code, related the selection of topics to the strengths of certain library collections. We did this, first of all, because we think it is meaningless, and secondly because we feel it has not been followed anyhow. If there is going to be some attempt to influence the selection of topics on the basis of collections, it ought to be done by individual libraries.

Concerning the scope of the code, as you know, in the old code, there was a list of categories of materials which libraries were not normally expected to lend. There is still a section on scope, but several categories in the previous code, such as genealogical materials, have been eliminated. There is still a provision stating

that libraries will not ordinarily lend rare or valuable materials, including manuscripts, so this still covers a substantial amount of this material. The second most significant category we have taken out is in-print books of moderate cost. Since nobody can define moderate cost, since we again believe that the decision to lend is the prerogative of the lending library, and since many libraries have been lending such material for a long time anyway, we just did not see any point in keeping it. We replaced it with a statement that each library is responsible for providing the resources that meet the study, instructional, informational and normal research needs of its primary clientele. The important phrase there is "normal research needs," which does not appear in the existing code. There is another statement that material requested from another library under this code should generally be limited to those items that do not conform to the library's collection development policy and for which there is no recurring demand. This also represents a new statement.

There is a statement in the code indicating that the responsibility for compliance with the copyright law belongs to the borrowing library. This is a new statement, obviously because of the implications of the new copyright law.

Another major change in the code results from the fact that there is no longer a statement saying that the name of the person for whom the material is being borrowed should be included. However, we do have a statement saying that the status of the individual for whom the material is being requested should be included, if required by the lending library. Since certain libraries will not lend to certain categories of people, this change may cause some difficulty. In the interests of privacy, however, we have deliberately taken out the requirement that the name of the person be included.

The statement about the safety of material emphasizes that the borrowing library is responsible for safety, essentially for replacement, from the time the material leaves the lending library until the time it arrives back in the lending library. This gets around some of the questions we have had in the past about what happens when a book gets lost in the mail. I think the present statement reflects current practice.

There is a new statement that emphasizes the desirability of libraries encouraging users to travel to their libraries for on-site access to material, when extensive use of a collection is required. This is something research libraries have been familiar with, but we are trying to emphasize to other libraries the desirability of moving people rather than books when that is the more effective way to provide access.

Throughout, the code emphasizes the necessity for libraries to issue and publish their own interlibrary loan regulations, whether in book form, directory form, or, perhaps at some point, on line, if there is an automated interlibrary loan system. The code also stresses the need to respond and to fill requests promptly, if at all possible. Finally, there is a statement on renewals which suggests that renewals should be requested only under conditions of extreme need, not as a matter of course.

Those are the primary changes in the code. As I say, it is a five-and-one-half page document. You will be getting copies shortly. I would very much like to receive your comments as soon as possible. If any of you cannot attend the Dallas meeting, I welcome and encourage your interlibrary loan librarians to attend.

Report of the Task Force on
National Library Network Development

MR. DOUGHERTY (Michigan): I would like to report on two activities now before the Task Force. The first has to do with the role of ARL in the evolving national network. It is a very difficult role to define, but since we are spending a large share of each program meeting on our problems and concerns with a national network, I think we recognize how important it is. The current members of the Task Force are William Studer from Ohio State, Russell Shank, Patricia Battin, Hugh Atkinson, and Bill Welsh from the Library of Congress. I hope you can see that there is some balance in the composition of the Task Force. The day before yesterday, the Task Force met to consider the role of ARL, what course we could chart, and we found that there were areas in which we could agree. We hope to prepare a draft statement that can be distributed to the membership this summer for discussion and possible endorsement at the October meeting. I had at first thought I might give you some flavor of the issues we discussed, but, since two members of the Task Force were not in attendance, I think I would rather defer that.

The second item on which I would like to report very briefly is the recent activity of NAC, the Network Advisory Committee. I would like to give you a sense of the current situation, which is probably temporary. The word "stakeholders" has been bandied about quite a bit today, and NAC is certainly a group in which there are many stakeholders. At its April 10 meeting, people such as Lee Jones and representatives from the Network Development Office of the Library of Congress gave progress reports. I will not repeat what was said, because I think you have actually had an updated version today. There was also a report from a subcommittee representing what I would call "the private sector." They prefer the name "non-library sector." Rather than go through the details of the report, let me just say what they desire is more representation on the Network Advisory Committee.

I sat there all day as we discussed the issues, and, shortly after I left, I drafted a highly impressionistic paragraph which I would like to share with you. I said to myself that the key issue is for the library and the information community to understand what role NAC can play. We must accept the fact that NAC's role and contribution will be determined largely by the nature of its membership. It is my impression that the Library of Congress has made every effort to bring together a representative body, in an effort to achieve a consensus on the issues fundamental to library development. While NAC certainly possesses the expertise to provide valuable advice, it cannot, in my personal judgment, establish a consensus on some issues. The interests of the for-profit sector, including publishers, indexers, and the information industry, are occasionally in conflict with those of public and

academic libraries. Consequently, NAC tends to spin its wheels seeking a consensus where none exists. It is my belief that NAC can serve as a forum to examine issues about which there are divergent or conflicting points of view, but NAC members have not come to terms with the group's own limitations. The group is not ready to deal with substantive issues, and the current frustration is likely to persist until NAC has resolved the dilemma of its own identity. I credit the Library of Congress' earnest effort to seek advice on network issues, but it has been clear for several months that NAC can only offer advice and identify issues upon which disagreement exists. I hope that, between now and the next meeting, scheduled for September, more consideration will be given to NAC's role and to its limitations.

Let me add that both the Library of Congress and the Council on Library Resources indicated at the last NAC meeting that they hoped to retain NAC as an advisory body. It is my impression that efforts will continue to create a mechanism whereby NAC, with its broad representation, can serve as a forum for advice to both the Library of Congress and to the BSDP effort. If that is correct, I think it represents a healthy step forward, and I would not be surprised if, in the next few months, the value of NAC's role increased.

Report of the Committee on Preservation of Research Library Materials

MR. STAM (New York Public Library): No one can accuse the Preservation Committee of any hyperactivity over the last year. We have made no recommendations and initiated no programs of action. In fact, have not done very much, but I can report that there has been an astonishing amount of preservation activity within member libraries. Even though there has not been what we might consider a desirable degree of coordination among those activities, the work itself has been encouraging.

I would like to cite just a few examples. First, I might point out that fully one fourth of the Title II-C funds granted during the first year of the program were devoted to preservation, and I hope that will continue to some extent during the second year of the program. In addition, there have been a large number of specific project grants from NEH, from NHPRC, and from private foundations both for specific preservation activities within individual libraries and for preservation program development activities. ARL itself has recently made two applications for preservation project grants, and we hope to be hearing more about them shortly. What is still needed is the development of on-line access to all current micro-preservation activities, so that research libraries can avoid expensive duplication of effort.

Although the Ad Hoc Advisory Committee for the National Preservation Program has not met since September, 1977 — I think some of us wonder whether it still exists — and though its recommendations from that time have been largely ignored, the Library of Congress continues to provide very important preservation services to the whole research library community. They offer direct services, such as collection survey work, organization of workshops, and courses in conservation, and also run something of a national reference service answering preservation questions. Last year, I believe they answered something like 7,500 to 8,000 inquiries. LC also offers more indirect services to the whole library community

through its continued research program, especially in mass de-acidification methods and materials testing. It has also been planning to begin publication this fall of what they will call a "national preservation newsletter." It will appear thrice yearly and be a clearinghouse of information on preservation developments. LC also has a number of publications on preservation, including mylar encapsulation and the proceedings of the 1976 preservation planning conference. Other interesting publications on preservation include, the National Conservation Advisory Council's report on national needs in library and archive conservation and an important pamphlet on disaster prevention and preparedness, published by UCLA.

In this brief report, I can indicate only a small portion of the preservation activities that are now in progress. To end on a pessimistic note, however, I would say that, despite this degree of activity and some progress in research and in actual preservation work, it is fair to say that we have begun dealing with only the tip of the iceberg. Preservation remains the most easily deferrable item on the library administrator's priority list, so the time bomb in the stacks, as one dramatic article in the Chronicle of Higher Education put it, continues to tick away.

Admission of New Members

MR. ANDERSON: In the fall of 1976, ARL instituted a moratorium on the acceptance of applications for membership. When this body accepted new membership criteria at its meeting last October, the moratorium ceased. I would like to quote to you from the Bylaws of the Association of Research Libraries, as amended in 1977, regarding membership: "Membership in the Association shall be on an institutional basis, on invitation of the Association membership, to be open to major university libraries whose collections and services are broadly based and to certain other libraries whose collections also are recognized as having national significance. Major university libraries are considered to be those in current institutions that broadly emphasize research and graduate instruction at the doctoral level and grant their own degrees, which support large, comprehensive research collections on a permanent basis, and which give evidence of an institutional capacity for and commitment to the advancement and transmittal of knowledge."

I now place before you, on behalf of the Board of Directors, the consideration of five institutions who have presumably met the criteria for membership in the Association, that is, the first consideration. Remember, invitations for membership may be issued at the initiation of the Board of Directors only with the approval of the membership. The five institutions are: the University of New Mexico, the University of California at Riverside, the University of York, the University of Guelph, and the Newberry Library in Chicago. A motion is in order to invite these institutions to join the ranks of the Association of Research Libraries. A motion has been made. Is there a second?

MR. ATKINSON: I second.

MR. ANDERSON: Do you wish to discuss the motion? Hearing no discussion, all those in favor of the motion signify by saying "aye." Contrary, same sign. (The motion passed.) I presume, therefore, that invitations to these libraries may be issued.

Special Report on the
National Endowment for the Humanities

MR. ANDERSON: As we mentioned earlier, we have several guests of the Association at this meeting, some of whom may wish to make some remarks to the audience. I know that Margaret Child of the National Endowment for the Humanities wishes to say something.

MS. CHILD (NEH): I know that you are all tired and hungry and ready to leave. However, I did want you to be aware that the Higher Education Act is not the only piece of Federal legislation that is coming up for reauthorization in the near future. The act which establishes the National Endowments for the Humanities and Arts is due to expire a year from this October. For reasons that are still somewhat obscure to me, Congress plans to begin reviewing that legislation some time after the upcoming Memorial Day recess, that is, a year in advance of our potential demise.

We were informed of this only a week ago, and the program staff has scrambled over the last few days to put together both a justification of what we have done over the last few years and a projection of what we would like to do over the next four years. When I was engaged in this activity, I felt as if I were gazing into a crystal ball, but I did not really feel that I was sufficiently well informed about the demonstrated needs of the constituency which I am trying to serve. This led me to think that, perhaps, as this review and projection goes forward, it might be very useful to have clearer information than is now available about the needs of research libraries and, even more specifically, about the priorities that you yourselves would set among your needs. It seems clear that we are in a period of no-growth budgets. NEH has been very fortunate over the past decade to have received a constantly expanding budget, but this year, for the first time, we are not anticipating any significant budget increase. We are in a new ballgame now, in which, if we choose to do certain things, we must decide to accomplish them by not doing certain other things. Some indication of what is most significant in the arena of research libraries would thus be very useful to us.

There are a number of very specific areas which will come up for review during this process of preparing our background documentation for reauthorization. I would particularly like to bring to your attention Title II-C. There is a very strong concern, both in the Administration and on Capitol Hill, about overlap among the programs of various federal agencies. I think a case will have to be made, if, in fact, a case can be made, that Title II-C compliments rather than duplicates the kind of support that NEH has been providing for libraries. Another area which will be rigorously examined is the Challenge Grant Program. As you know, the Challenge Grant Program was initiated at our last reauthorization, and it has been, in many ways, a very successful program. However, it is presently being operated under a rule that we will make only one challenge grant per institution. That particular mode of operating will be considered again at this time, both within the agency and in Congress.

Finally, there is the degree of support which the agency might give in the area of conservation and preservation. At the moment, we are doing pitifully little

to deal with these massive problems. I realize it is an extremely complex problem, but, basically, our support so far has just bought a lot of Hollinger boxes, in which we hope that materials will deteriorate less rapidly. I believe there will be no significant expansion in that area unless we get a signal that there is genuine concern out there in the countryside about this problem. We would like to know that there are well defined activities which we could support and which would begin to make an attack on some aspects of the conservation and preservation problem. That kind of need must also be expressed in a way that will be meaningful to Congress.

MR. ANDERSON: Thank you Ms. Child. Any comment?

MR. LUCKER (M.I.T.): Because of the timing on this, I think it is important that librarians who have received funds from NEH programs or who have projects that NEH might fund communicate to the director of NEH as soon as possible. We can not wait for the ARL Office to send out questionnaires or reminders. The timing is such that this will take place just after Memorial Day. I would urge all of you to write to Joseph Duffy at NEH and to express your support for the NEH programs. You should try particularly to define, in your own terms, the differences between Title II-C and the NEH support. We have lots of things on our menus, such as Title II-C and the National Periodicals Center, but let us not lose sight of the tremendous benefits that most of us have received from NEH over the years. Margaret cannot ask you to write letters; that would not be appropriate, but I, as a director and colleague, urge you to write to Joseph Duffy to support NEH. At this time, it is no longer a matter of more money. Let us at least make sure we receive the same amount we have been getting for the last few years.

Additional Remarks on a National Periodicals Center

MS. TURLINGTON (AAU): In regard to the National Periodicals Center, John and Mandi will, I am sure, be talking a great deal to you in the near future. I will also be talking to the presidents and chancellors of your universities, along with some of the land grant universities. I would urge you, when you go home, to please try to talk with your president and chancellor, if you have not already, about the National Periodicals Center plans. I would also urge you to speak with the provost and the person responsible for federal relations on your campus. Those people need to be well briefed so that we do not have to do it again every time that we ask for a witness at a Congressional hearing or every time we ask one of your people to call a Senator or a Representative when there is legislation getting to the floor.

Report of the President

MR. ANDERSON: After serving six months as your President, I am sure that I should have a long list of achievements which are uniquely mine. Such is not the case. Whatever we have accomplished is directly dependent upon the encouragement and support of the Board of Directors and especially the Executive Committee. We met separately as a Board of Directors in Washington last February, but a perusal of the minutes should give you a fair idea of the topics

which were considered. The Executive Committee has met twice during my term. Our concerns have centered primarily upon budget, personnel, and programs for our meetings, but, at this current meeting, our Vice President, Connie Dunlap, and myself — our immediate Past President, Ray Frantz, could not be there because he is on leave — had one other important assignment. That was the review and evaluation of these applications for membership. In that effort, it did not take me long to discover that the President is almost totally dependent upon headquarters staff. There have been numerous telephone calls, letters, and meetings in Washington, often arranged, by the way, by my freeloading upon another organization whose interests required my presence in Washington. In all of these dealings, I have never failed to receive the utmost cooperation and assistance from this dedicated and hard working cadre.

There is, however, one thing that has struck me as President. Although I have received much good advice and assistance from the Board, the Executive Committee, and the staff, I have found a paucity of views and expressions of interest directly from the membership. I have received one letter and one phone call in six months. Maybe that is good, but, on the other hand, I am a little uncomfortable with it. Until I heard Mr. Govan's comments about the program during this meeting, Mr. Lorenz and his staff had apparently fielded all of the questions that might have come to me. I just want to say that it is difficult to assess our concerns without some direct input. So please, keep those cards and letters coming.

I would like to take the rest of my report to make a few very special comments. I want to express to Suzanne Frankie the deep appreciation of this Association and the directors of its research libraries for the effective contribution she has made to its work and growth over the last six years. Sue began her service to the Association January 17, 1973, as a Research Specialist under Steve McCarthy's leadership. So quickly did she prove her value that, two months later, Steve appointed her Assistant Executive Director. In that capacity she was of great assistance in the management of studies, copyright legislation, the improvement of ARL statistics, and the operation of ARL conferences, proceedings, and other communication programs. In 1976, her valuable contribution to ARL was further recognized by her promotion to Associate Executive Director. In this capacity, she has been directly involved in the work of Association committees and task forces, in ARL's direct relationship with the Congress and Executive agencies on matters relating to library programs, and in the programs of other organizations such as the Council on Library Resources, the American Library Association, and the Association of American Universities. Just recently, for example, she has been an important member of a representative group assisting the National Commission on Libraries and Information Science in drafting legislation for the National Periodicals Center.

It is difficult, if not impossible, to describe adequately in a few words what this person has meant to the organization, but here are a few things that have been suggested to me in describing Sue: "Gracious, wise, judicious, fair, dedicated, well organized," and, perhaps the most important of all, "a good sense of humor." Why don't you come up here, Sue. We do not have a monetary bonus that I know of, but we have something which the staff suggested and prepared. (President Anderson presented Ms. Frankie a line drawing of ARL headquarters.)

MR. FRANKIE: I thank you very much. I type sixty-five words a minute, and I have 105 copies of my employment resume, but I will not distribute them now. I can only be flippanant at this point, I am afraid.

I will be spending the rest of the year writing a dissertation. I do not have a topic yet, but I know what I am not going to write about. It will not be anything that involves using ARL statistics, and I will not write about anything that requires sending a questionnaire to ARL directors. However, I cannot promise that for sure. I am going to take a package of mailing labels with me, just in case, so you may be hearing from me sooner than you expect.

I know time is short, but I would like to personally and publicly welcome Carol Mandel. She is absolutely terrific, and I think we are so fortunate to get her. I know that, very soon, she will come to appreciate, as I have, how lucky we both are to be associated with all of you.

Thank you.

MR. ANDERSON: What can possibly follow that? Since there is nothing, I will declare the 94th Meeting adjourned.

APPENDIX - B

OFFICE OF MANAGEMENT STUDIES

Annual Report

I. INTRODUCTION

Office of Management Studies annual reports are intended to highlight challenges facing academic library managers as well as to review current office activities and programs. The principal undertaking of OMS during 1978 was the initiation of the Academic Library Program, a five-year project which received funding from the Council on Library Resources, the Andrew W. Mellon Foundation, and the Lilly Endowment, as well as a commitment from the Association of Research Libraries. This new program represents a culmination of over eight years of Office research and development.

The central theme of the Academic Library Program is organizational change. Any organization must grow and develop in order to accommodate a changing environment, and libraries are no exception. If libraries are to succeed as active partners in the instructional and research programs of universities, they must be sensitive to changing conditions within their internal structure and in the external environment. External or environmental pressures include inflation, reduced public support, technological development, and increased client needs, while internal pressures include changing staff values and attitudes and the tensions that develop within organizations operating with static or declining budgets. Such pressures require that libraries improve their ability to perceive changing circumstances and develop internal decision-making processes that allow for flexible, timely response. Furthermore, libraries must move toward more sensitive roles within the communities they serve, influencing university plans, programs, and priorities rather than simply coping with events as they occur.

The new Academic Library Program assumes libraries possess the leadership, vision, and energy necessary to meet the challenge of change. The key need is for methods that bring together the talent and commitment of staff to focus on solving problems, integrating technological and system developments into current operations and planning for the future. The office has helped many libraries do this through a process of assisted self-study. Experience with the Management Review and Analysis Program (MRAP), Collection Analysis Project (CAP), and the Academic Library Development Program (ALDP) demonstrates that libraries at various points in their development can mobilize resources to prepare for the future. Each library participating in these programs has gained substantive benefits, including the implementation of needed, specific changes in current programs, development of a staff capability to identify and respond to changes in their situation, and preparation of plans for future action.

In addition to working with change processes, library organizations also need to prepare for new directions. OMS assistance in this area includes consultation

and advice that encourages self-development while introducing fresh ideas, creative responses, and effective mobilization of library resources in focused problem study endeavors. The Office intends to develop a corps of outstanding librarians to act as change consultants. This endeavor is part of the Academic Library Program described in this report.

Consultative advice and assistance require up-to-date information on current practices of research libraries in order to help librarians investigate and develop new ideas. The Systems and Procedures Exchange Center is operated by the office to survey library operations and make available information and documentation on these current library practices.

Attention also needs to be paid to the methods for selecting, developing, and promoting the talent needed for effective library management. Assistance in this area is available from the Organizational Training and Staff Development Program. Clearly not all librarians are suited for managerial responsibility, yet organizational structures and reward systems force them into career patterns which can be unrewarding to them and to their libraries. The leadership roles of library managers need further refinement to allow a proper focus on creating climates where the full potential of a talented staff can be directed toward accomplishment of clearest library goals. The training of these library managers should emphasize development of a self awareness of their managerial strengths and weaknesses as well as an enriched repertoire of skills, techniques, and concepts.

B. HIGHLIGHTS OF OUR ACTIVITIES IN 1979

- A. The new Academic Library Program (ALP) received operating funds (\$470,000) for the next five years (10/79-9/85). This endeavor brings together several ongoing office programs, including the Management Review and Analysis Program (MRAP), the Collection Analysis Project (CAP), and the Academic Library Development Program (ALDP) and promises to expand resources available for use by ARL members.
- B. The Collection Analysis Project assisted three ARL libraries (Arizona State, University of California at Berkeley and Massachusetts Institute of Technology) in working through the program, and their final reports are now available. Evaluation of the test studies was completed, which facilitated a revision of the CAP Manual, now in process. A \$66,000 transition grant was received from the Andrew W. Mellon Foundation to allow integration of CAP into the new Academic Library Program. Four new CAP studies are starting at Brigham Young University, Case Western Reserve University, the University of Illinois, and the University of California at San Diego. The first three of these projects will engage staff from ARL libraries to work with OWS staff as co-consultants during an internship period. Jeffrey Gardner is the principal OWS program officer for CAP.
- C. The Management Review and Analysis Program assisted the University of Oklahoma and Southern Illinois University at Edwardsville in working through the Program. Final reports are now available.

- D. The Academic Library Development Program provided assistance to four libraries (Carnegie-Mellon University, Drew University, Seattle University, University of Wisconsin/Parkside) in completing the study. The Council on Library Resources Coordinator for this program, P. Grady Morein, was added to the OMS staff to facilitate integration of ALDP into the new Academic Library Program.
- E. The Small Library Planning Program was initiated with a \$200,000 grant from the Lilly Endowment for a two-year period. The goal of this project is to design a self-study process that independent college and/or university libraries with a professional staff size of less than ten can operate successfully.
- F. The Systems and Procedures Exchange Center issued ten SPEC Flyers and Kits during 1978 covering the topics of skills training, collection assessment, resource sharing, automated circulation systems, automated acquisitions systems, the changing role of personnel officers, planning for the future of the card catalog, automated cataloging systems, external fund raising, and the use of annual reports. A total of 49 Flyers and Kits are now available. Many of the earlier Flyers and Kits have been upgraded and updated by the Information Services Specialist, Maxine Sitts. The H. W. Wilson Foundation awarded the Center \$19,545 to allow distribution of SPEC materials to accredited library schools. The Center recovered \$57,000 in costs.
- G. The Organizational Training and Staff Development Program conducted three Management Skills Institutes in 1978. All three (Chicago in May, Boston in July, and Maryland in November) were fully subscribed and highly commended by the participants. Ten special-focus workshops also were conducted covering such topics as, decision-making, supervisory skills, interviewing and communication. OMS staff conducted three technical workshops on remote storage, automated circulation systems and budgeting for ARL Directors at the May membership meeting. A brochure describing the expanded training program was developed by the OMS Training Program Specialist, Deanna Marcum. The various training activities recovered \$30,000 in operating costs.
- H. The H. W. Wilson Foundation awarded a \$16,000 grant to the OMS to design a series of resource notebooks on the topics of staff development, organization, and planning. The notebooks draw on SPEC files and the results of MRAP studies to create a set of ideas, models, and procedures that libraries can use to study and improve their own operations.
- I. The Japan-U.S. Friendship Commission awarded a \$19,175 grant to the office to organize and conduct a three-day workshop for Japanese bibliographers. The workshop was conducted in August and the proceedings were published toward the end of the year.
- J. Assistance was provided to the Educational Testing Service in the conduct of a study of collection development policies and practices at the University of North Carolina, the University of California-Los Angeles, the University of Wisconsin, and Brown University.

- K. OMS staff completed a project to revise and update the index to ARL Meeting Minutes, funded by a \$12,000 grant from the H. W. Wilson Foundation.
- L. OMS served in an advisory capacity to a major collection analysis project at the Cornell University Libraries. Funded by the Andrew W. Mellon Foundation, this project allowed the Cornell Libraries to develop methodologies for describing the various components of their collection and to initiate new programs of collection assessment and selection.
- M. Mr. Paul Kantor was retained by the Office to develop a manual for carrying out materials access and availability studies. This procedure has been built into the collection assessment module of the Collection Analysis Project (CAP).

III. PROGRAM ACTIVITIES OF THE OFFICE OF MANAGEMENT STUDIES IN 1978

Since its inception in 1970 the Office's programs have emphasized the investigation of managerial concerns of research libraries and the development of resources and services that assist academic libraries in improving performance. The core programs of the Office are: The Academic Library Program, The Information Collection and Dissemination Program, The Organizational Training and Staff Development Program, and The Applied Research and Development Program. The OMS program activities during 1978 are noted below.

A. The Academic Library Program

The purpose of the Academic Library Program (ALP) is to help libraries work through a process of review and improvement in order to strengthen their overall performance. For the past several years, a principal emphasis of the OMS has been the development of programs to enable these libraries to identify needed changes, clarify problems, recognize opportunities, and design specific programs for improving operations and enhancing services. The ALP will consolidate these programs into a cohesive endeavor that is open to academic libraries of all types.

The basic process to emerge from working with a variety of university, research and college libraries is assisted self-study. This approach is founded on the philosophy that the library staff is in the best position to identify desirable changes, and needs only a degree of guidance to accomplish the task more systematically and efficiently. The principal form of guidance needed is a sound methodology for approaching the analysis and some third party consultation or coaching while conducting the study.

In the Academic Library Program, the library staff conducts an assessment, develops solutions, and designs an improvement program. The ALP furnishes participating libraries with procedures, materials and consultation throughout the study. Materials include a procedural manual, OMS publications, state-of-the-art reports, conceptual papers, and data gathering instruments. Consultants provide on-site and telephone assistance including an initial visit to help the library decide

whether to undertake the program and regular visits to assist in training staff, conducting the study, and reviewing results.

The function of the consultant in the Academic Library Program is somewhat different from the typical consulting role which centers on prescribing solutions to given problems. While academic library staffs can readily identify the issues that need attention, the ALP consultant helps in articulating these issues and in developing action-oriented programs for dealing with them. Consultants also aid participating libraries by providing guidance in utilizing data collection instruments and procedures. In addition, they may design special instruments or procedures, critique reports, or simply act as a sounding board and respond to ideas. Consultants are either members of the OMS staff or librarians from the field who have received specialized training from the OMS.

The benefits of this assisted self-study approach are many:

- o The process furnishes a comprehensive review of issues and enables the library to establish appropriate priorities based upon thorough analysis.
- o The approach focuses on producing positive, concrete, long-term results.
- o Staff involvement in the analysis builds responsibility on their part for providing solutions to problems and for looking toward ways of implementing change.
- o The assistance provided in the program — the methodology, the manual and other materials, the consultation — enables the library to obtain an objective assessment of its situation.
- o The program acknowledges that differences occur among various interest groups within the parent institution and the library and furnishes a methodology for dealing constructively with those differences.
- o Staff participation results in staff development and increases motivation as well as ability to deal more effectively with change on a continuing basis.

The Program provides academic libraries with several options for dealing with a variety of issues. Each library, with the assistance of OMS, will determine in advance the specific program best suited to it. Current options include: the Management Review and Analysis Program (MRAP), the Collection Analysis Project (CAP), and the Academic Library Development Program (ALDP) which are described on the following pages.

In addition to these tested programs, the ALP will develop other self-study modules including:

- o A Services Development Program. This program will help libraries examine such services as reference, circulation, interlibrary loan, reserve book, and bibliographic instruction. This program will draw upon the

experience of the College Library Program, jointly sponsored by the Council on Library Resources and the National Endowment for the Humanities, and the Council's Library Services Enhancement Program.

- o A Small Library Planning Program. This self-study procedure will enable the very small library to articulate its role in the academic community and to present an action plan for improving its capacity to participate fully in the instructional and research functions of that community.
- o A Community College Study Procedure. The needs of the two year community college will be covered by a study process tuned to the distinctive character of these institutions.

1. The Management Review and Analysis Program (MRAP)

This self-study program focuses on management practices within the library. Specific issues encompass planning, budgeting, policy making, management information, supervision and leadership, organization, personnel practices, staff development, and general management.

During 1978, the OMS worked with the application of the program at the University of Oklahoma Libraries and the University of Southern Illinois at Edwardsville Library. These libraries completed the study report and began implementing the results of the study during the year.

Completed MRAP study reports from 24 previous participants are available from the OMS.

An assessment of the impact of MRAP at participating libraries was completed under a separately funded project at the Pennsylvania State University Libraries. The study, funded by the Council on Library Resources and directed by Edward Johnson and Stuart Mann, determined that the overall effect of MRAP was worthwhile and successful as perceived by the library directors, managers and staff. The full report will be published in 1979.

2. The Collection Analysis Project

This program is designed to help academic libraries assess their collection development practices and policies. It focuses on collection objectives and policies, organization and staffing of collection development functions, the allocation of materials funds, collection assessment, preservation, and resource sharing.

The OMS received a grant of \$294,000 from the Andrew W. Mellon Foundation to continue the development and operation of CAP. Of this total, \$250,000 was directed toward the operation of CAP as an integral part of the Academic Library Program over the next five years. The remainder was earmarked as transition funding to revise the pilot test manual, to develop additional approaches to collection assessment and to operate the revised program in from three to five academic libraries during 1978-79.

The pilot studies initiated in 1977 were completed during 1978. The libraries at Arizona State University and the Massachusetts Institute of Technology issued final reports in March and the library at the University of California, Berkeley completed its report in December. Among results reported were development of new approaches to the allocation of materials funds, more effective mechanisms for coordinating diverse collection development functions, expanded approaches to the evaluation of collections, new resource sharing opportunities, and recommendations for the preservation and conservation of library materials. Implementation of the results of these pilot studies began at each institution during 1978.

The pilot study experiences led to several changes for the program's future. Initially planned as a six to seven month project, it has been expanded to cover eight to nine months, allowing for greater emphasis on designing final recommendations and an implementation strategy. The manual is being revised and edited with the addition of new chapters dealing with the allocation of materials funds and preparation of the final report. In addition, procedures were developed for carrying out collection use studies, materials availability studies, and materials access studies. Finally, the number of on-site visits by OMS staff during the project operation has been reduced to three or four including an initial orientation and project planning session at the beginning of the project, a training session for task force members at approximately the mid-point of the project, and a session aimed at developing recommendations and implementation strategies toward the end of the project.

The revised procedure and manual is being used at the University of California, San Diego and Brigham Young University which began the project in October and Case Western Reserve University, which began in November. All should be completing the project in early summer, 1979. A fourth institution, the University of Illinois, is beginning the project in January 1979.

CAP is making use of three co-consultants this year. George Soete, Collection Development Librarian at Arizona State University is co-consulting at Brigham Young University; Jutta Reed, Collection Development Librarian at M.I.T. is co-consulting at Case Western Reserve; and Sheila Dowd, Assistant University Librarian at Berkeley, is co-consulting at Illinois. All have worked with OMS staff as members of previous CAP study teams and have strong backgrounds in collection development. Their experiences will provide insights into the design of a formal consultant training program to be operated in 1979 as part of the Academic Library Program.

Future plans for CAP include the application of the project at three to five libraries each year and the continued refinement of the program procedure and manual.

3. The Academic Library Development Program (ALDP)

This self-study strategy is for small and mid-sized libraries to use in assessing operations, services, management practices, facilities, and changing technological needs designed in cooperation with the Council on Library Resources (CLR). The Office has been able to secure the CLR program coordinator for that effort, Grady

Morein, who joined the staff in June of this year. His presence will allow integration of ALDP into the over-all Academic Library Program. During 1978 further tests of the study procedure were completed at three libraries: Carnegie-Mellon University, Drew University, and the University of Wisconsin/Parkside. In addition, a fourth library (Seattle University) started the program late in 1978 and will complete it during the next year. Participant reports are available from the Office.

4. The Planning Program for Small Libraries

In the latter part of 1978, the Lilly Endowment, Inc., approved a grant of \$200,000 to the Office to conduct a Library Planning Program for independent colleges and universities in Indiana and neighboring states. The two-year grant will enable up to 20 libraries to conduct assisted self-studies to improve their services, operation, and management practices.

The Library Planning Program is designed specifically for libraries with staffs of from one to ten professionals, taking into account their distinctive needs. Libraries will be selected through a competitive process by the OMS on the basis of readiness and ability to participate. Specific criteria include a need for self-study, a desire for improvement, an ability to conduct a self-study, and institutional support for the endeavor. Under the grant provisions, qualified libraries will receive manuals, guidelines, survey instruments, and consulting assistance from the OMS plus a stipend of \$5,000 to help cover the costs of conducting the program.

The design and testing of the Library Planning Program will be accomplished within the framework of the Academic Library Program.

5. The Academic Library Consultant Training Program

The Academic Library Consultant Training Program was developed during 1978 to provide the opportunity for outstanding librarians to serve as co-consultants in OMS-conducted self-studies. As such, they will develop skills in identifying and diagnosing library problems; study theory and concepts of library training and consultation; gain experience in the consultation process; gain an operational understanding of OMS self-study procedures and their applications; and increase skills in facilitating groups engaged in problem-solving. In the first year of program operation — 1979 — 10 to 20 individuals will be selected.

The primary components of training are (1) an intensive two-week institute on consultation skills that acquaints candidates with the wide array of techniques, strategies, and resources available to them within the program, and (2) a year-long practicum where candidates work with an OMS staff member in the conduct of a library study. In addition candidates will be encouraged to complete a directed reading program; design study interventions; prepare organizational assessments; and participate in related workshops, institutes, and conferences. These activities will be completed with the guidance of OMS staff.

Consultant candidates will be selected on the basis of a written application available from the OMS, individual interviews held regionally, and participation in a

program orientation workshop. Selections will be made by the ALP Advisory Committee and the OMS staff. Persons will be selected on the basis of the following criteria:

- o Five years of successful library operations experience.
- o Demonstrated skills in dealing with colleagues, analyzing and solving problems, and making decisions.
- o Demonstrated communication skills, especially openness to new ideas, tolerance for differing viewpoints, and ability to articulate ideas.
- o Ability to devote up to 22 days during the first year to the program (on a release time or personal leave basis).

In addition, the selection committee will consider the candidates' experience in library self-studies; specialized management training; accomplishment in an area covered by an OMS study; and potential for working within the assisted self-study approach to organizational change and development.

It is expected that consultants will devote up to 22 days during 1979-1980 away from their present positions while engaged in a 2-week workshop and in 10-12 days of consulting at a library site. This may be either release time granted by employer or personal vacation leave. Consultants also will be expected to devote some personal time at their home location preparing for visits, writing reports, etc.

B. The Office Program of Information Collection and Dissemination

By conducting surveys, analyzing library documents, issuing publications, and building in-house files for ARL member use, this program helps coordinate information-seeking activities of ARL and other academic libraries and stimulates interest in improving library operations and management.

During 1978, this Program identified the planning, implementing, and evaluating of automated systems as a prime concern. One-half of its surveys and publications were devoted to this topic, focusing on acquisition, circulation and cataloging systems, technical skills training, and alternative catalog formats.

These surveys revealed that although considerable progress has been made in developing automated systems, libraries reported experiencing difficulties in introducing new technology and frequently did not fully exploit enhanced capabilities. The speed of technological change makes it difficult for libraries to assess the utility, cost-effectiveness, and permanence of systems, or to gauge the full impact of a new technology on staffing, library service, or users. Given such constraints, libraries must carefully study new developments and follow rational systematic procedures for introducing these changes.

In the area of acquisitions, libraries reported that the procedures required to acquire materials — including searching, selection, input of order information, fund

accounting, receiving and processing — are highly labor-intensive when handled manually. In addition, academic libraries are coping with growing amounts of published information, continuing user demands and acquisitions workloads, and more complex bibliographic and management information needs. Since the early 1960's, many academic libraries have turned to automation to deal with at least some of these challenges. Most libraries report that automation has helped standardize processes and has resulted in more efficient use of staff, but few libraries report reduced costs for processing as a result of automated acquisitions.

Libraries also have been developing and utilizing automated cataloging systems since the mid-1960's. Although some early development was directed toward local systems, the emergence during the late sixties and early seventies of national or regional on-line networks has proved most significant to academic and research libraries. While some benefits have been production-oriented, such as rapid production of catalog cards, the shared on-line systems also have led to economies in original cataloging by providing shared catalog records to all users of a particular system.

As for automated circulation, costs play a large part in decisions to implement such systems. In fact, nearly all libraries without circulation systems cite lack of funding as the reason for not automating. The decision to automate is based upon the need to handle routine tasks more efficiently and to release staff to handle direct public services, as well as to reduce costs per item processed. For the most part, circulation systems are able to effect these changes in libraries. Reduced costs are attributed mainly to the ability to handle increased workloads by existing staff rather than to any reduction of staff size.

The advent of new technology also places demands on the organization to train personnel to handle new procedures and equipment. Many libraries are taking advantage of the training offered by vendors of automated systems, while others are developing more systematic, comprehensive library-wide training programs that address not only the use of a particular piece of equipment, but orientation, professional growth, and attitudinal needs as well.

One of the most universal concerns of the past year was the exploration of alternative catalog formats in anticipation of the implementation of AACR 2. Libraries are weighing the costs, workability, and availability of computer-output-microfilm (COM) systems, on-line systems, and book catalogs as alternatives to the card catalog. However, choices surrounding retention of the card catalog or adoption of a new format are difficult because of the lack of information on the effect of changes in AACR 2 within each library and because of unknown cost requirements for making changes. In addition, decisions involve many levels in and outside the library, and their effects will be highly visible. Most libraries have decided that extensive staff involvement is required, and have set up planning groups. There is a widely-expressed need for a cost model that will enable libraries to predict with some accuracy the expenses and effectiveness of alternative formats.

In general, while the promises and potentials of automation are high, it seems that automation has not had as much impact upon library procedures and performance as was predicted in the 1960's. Only a few libraries report having truly

integrated multi-functional systems and there is little evidence that automation has resulted in large-scale redefinition of library tasks. However, academic libraries have benefited from the use of automated systems. Some of these benefits have been economic, but the most important have been performance-based. Automated internal systems provide the first step in the development of a national library network. They allow dialogues among libraries to occur efficiently and inexpensively, and they indicate the potential for greater utilization of the nation's library resources.

1. The Systems and Procedures Exchange Center (SPEC)

This information clearinghouse facilitates cooperation among ARL libraries by gathering and maintaining files of useful documents, regularly issuing analyses and selected compilations of documents, and working individually with ARL libraries to solve specific information needs. In keeping with newly expanded Academic Library Program, SPEC also provides publications to 225 non-ARL libraries on a subscription basis.

SPEC conducted surveys of ARL libraries in the following areas during 1978: automated cataloging, automated circulation, automated acquisitions, technical services staffing, fringe benefits, fiscal planning, communication, future of card catalog, and annual reports and staff handbooks.

Seven earlier kits were updated, based upon changes in library operations in these areas:

- Affirmative Action (#4)
- Grievance Procedures (#23)
- Managerial and Technical Specialists (#20)
- Para-professionals (#21)
- Personnel Classification (#7)
- Physical Access (#27)
- Planning Systems (#13)

Ten new kits and flyers were issued in 1978:

Skills Training (No. 40) reports on the use of on-the-job training and procedures manuals and on orientation and training programs. Of libraries responding to a SPEC survey, over three-fourths reported that manuals, guides, and on-the-job training are the main methods of instruction for technical skills. However, there is a growing interest in developing new training programs and resources. The kit contains 11 documents totaling 88 pages, including a listing of training materials in use.

Collection Assessment (No. 41) describes several collection-centered and client-centered assessment techniques, and discusses the effects of building collection assessment into regular library operations. The kit contains eleven documents (103 pages) illustrating approaches to collection evaluation and assessment.

Resource Sharing (No. 42) discusses current issues, benefits and costs of resource sharing, local versus shared collections, concern with faculty resistance, and

cooperative collection development policies. The Kit contains 18 documents (188 pages) covering policies and procedures, program descriptions, planning and evaluation, reports and recommendations, and selected references.

Automated Circulation Systems (No. 43) notes that initial decisions to automate circulation functions are most often based upon needs to handle routine tasks more efficiently and to release staff to handle direct public services, as well as to reduce costs per item processed. The flyer discusses conversion and training, effects on organization and staffing, library operations and use, management information, and evaluation. The 188-page kit contains 18 documents, including an analysis of a SPEC survey on automated circulation.

Automated Acquisitions (No. 44) reports that automation of acquisitions has helped standardize processes and has resulted in more efficient use of staff, but few libraries report reduced costs for processing. The kit contains an analysis of SPEC survey responses and nine documents dealing with planning, use, and evaluation of automated acquisitions (102 pages).

Changing Role of Personnel Officers (No. 45) states that the role of personnel officers has changed over the past few years, due to increasing governmental regulations, growing staff needs and demands, and recognition by library leaders of the importance of a well-trained staff. The kit contains nine documents (76 pages) on personnel functions, selection and performance evaluation processes, and staff development programs.

Planning for the Future of the Card Catalog (No. 46) cites the difficulties of making choices concerning retention of the card catalog or adoption of a new catalog format. Many libraries are using extensive staff involvement for gathering information, examining issues, and establishing priorities. The expanded-size kit (175 pages) contains 17 documents covering historical perspectives, general planning, technical services, reader/user services, staffing, and bibliographies.

Automated Cataloging (No. 47) states that although there is concern with the quality of contributed records and with improved subject access to the various data bases, most ARL libraries report that automated cataloging systems are accomplishing what was originally expected of them. The flyer discusses implementation, impact, and evaluation of automated cataloging. The 187-page kit contains 14 documents dealing with planning and rationale, implementation and training, and evaluation.

External Fund Raising (No. 48) notes that many academic library directors report the development of alternative funding sources is becoming an integral part of their job. As budgets grow more restrictive, and as university capital funding seems less able to meet library needs, academic libraries are supplementing appropriated funds with money from foundations, businesses, endowments, individual gifts, friends groups, and alumni. The flyer reviews fund raising strategies, provides updated information on foundations, and discusses needs and trends. The kit contains 13 documents (106 pages) on fund-raising programs.

The Use of Annual Reports (No. 49) points out that administrators use reports for several reasons - as communication links with library users and university

administration, and as tools for developing public support and influencing acceptance of library goals and programs. The flyer describes formats, purposes, and content of annual reports over the past three years. The kit contains 20 excerpts of reports (389 pages) illustrating varying approaches and formats.

The number of SPEC subscribers has risen to 225 this year, up from 164 in 1977. The expanded SPEC operations report billings for 4,427 kits and income for 5,431 kits during 1978. With an increase in the number of kits being prepaid, it is estimated that over 7500 kits were distributed. A total of 942 other publications, including occasional papers and management supplements, was disseminated.

2. Other Major OMS Publications

Collection Analysis in Research Libraries: An Interim Report on a Self-Study Process was published in March, 1978. This 27-page report contains five papers on the status on the Collection Analysis Project (CAP) which discuss major issues confronting research libraries in developing and maintaining collections. The pilot tests at the Massachusetts Institute of Technology, Arizona State University, and the University of California at Berkeley are reviewed by library directors of the institutions.

Workshop for Japanese Collection Librarians in American Research Libraries was published in December 1978. This 111-page paper reports on a 3-day meeting of 26 of the nation's leading Japanese collections curators and librarians. The meetings, sponsored by the Japan-U.S. Friendship Commission, reviewed the current status of Japanese collections and examined future needs.

3. Other Activities

The SPEC center has extended efforts in three areas during 1978. First, communication with SPEC liaisons in ARL libraries has been enhanced by conducting site visits to member libraries and by informational mailings to liaisons and directors. Site visits were made to Princeton University, Johns Hopkins, Howard University, the University of Tennessee, and the University of Rochester. A new Descriptive Guide to SPEC and a new description of the liaison's role in SPEC were prepared and distributed.

Second, the Center has worked closely with several ARL libraries in developing and administering surveys. At the ARL membership meeting in October 1978, the board reminded the membership that SPEC offers a centralized on-demand survey service. Members were encouraged to contact the OMS when they need to collect information from other institutions, particularly in areas of management or operations. Stanford University, Rutgers University, the University of Virginia, and the University of Massachusetts contacted SPEC for on-demand surveys during 1978.

Third, SPEC has been extensively involved in two grant projects during 1978, both funded by the H. W. Wilson Foundation. One grant, to distribute complementary kits and flyers to library schools, began in November, and will continue for 12 months. Deans of the 180 member libraries of the Association of American

Library Schools were contacted by letter. After indicating their interest in the program, library schools were sent a package of information. They are receiving one kit/flyer per month along with additional selected resources. A project also funded by H.W. Wilson to revise and update the index to ARL meetings was completed.

C. The Office Program of Organizational Training and Staff Development

The staff of academic libraries comprise a distinct managerial challenge. Many staff possess extraordinary credentials in terms of advanced degrees, language specialities, and research skills. The choice to work in an academic setting is influenced less by economic considerations and more by environmental and situational factors. Yet, there are changes occurring in staffs' expectations and demands regarding their role in library organizations. Staff are demanding increased organizational attention to their professional and personal needs and are seeking job responsibilities where they can contribute more meaningfully to organizational goals. This has forced management to move toward more open organizations with wider staff involvement in decision making. While this trend offers opportunities for creative, positive change, it also creates tensions and frustrations for library managers accustomed to more traditional modes of authority, responsibility, and decision-making. Library managers, like managers in other enterprises, find traditional management styles and leadership assumptions increasingly less effective.

The managerial emphasis on achieving results requires an organizational setting where talented people can work together to accomplish library objectives. Generally speaking, this is a movement away from a system of tight control and authority over the work of staff to a system of individual commitment to organizational goals and self-direction. This movement focuses attention on issues of motivation, clarification of goals and priorities, individual development, performance appraisal, supervisory style, and staff development.

This process of shared commitment and responsibility has created situations where individual growth can proceed within a context of organizational growth and where the skills and understanding of individual library staff members can be more fully utilized, providing greater fulfillment to the individual while enhancing the performance of the library. The growth of the individual is no longer restricted to increased technical awareness, but includes the increased understanding of the opportunities and constraints facing libraries and the array of forces leading to managerial decisions. Fuller involvement can and frequently does lead library staffs to an expanding awareness of the library's problems and to solutions.

Another area of human resources receiving increased attention is staff development. While libraries have traditionally supported personal professional growth through tuition assistance plans and support for conference attendance, there has been some movement toward operating on-site development and training programs that provide skills and knowledge specifically required by the organization. These programs range from formal training in catalog filing to instruction in management skills such as communication, supervision, and employee

counseling. In many cases, training programs have been operated with the recognition that the development of library staff is an important part of improving organizational performance during periods of financial decline, particularly in labor intensive organizations.

One approach to filling libraries' needs for special skills and expertise is the recruitment and utilization of non-library technical and managerial specialists. In larger libraries this has included specialists in personnel, budgeting, planning, facilities, and automated systems. The number and range of these positions have increased in recent years, particularly in libraries that have grown substantially in dimension and complexity. This trend indicates a realization that a range of non-library skills is needed, and that in many cases these skills are not available among professional library staffs. When budgets do not permit the hiring of specialists, in-house training is often implemented to acquaint existing staff with requisite skills.

A movement in human resource management is toward making greater use of the staff in determining the desired results of unit and library performance and the manner in which these results will be achieved. People are employed in organizational situations where their role and contributions are valued, recognized, and well used.

Staff expectations and administrative concerns have contributed to increased need for resources in the training area, and OWS Management Skills Institutes and Special Focus Workshops have been increasingly popular during the year. The following list outlines the scope of our efforts in this area and gives some indication of the degree of interest in OWS training activities:

1. Management Skills Institutes

Three Library Management Skills Institutes were conducted in 1978, each with a full registration of 45. The Institutes, held in Chicago, Cambridge, Massachusetts, and Columbia, Maryland, were designed to increase personal awareness of supervisory style and to develop skills necessary for organizational effectiveness. The intensive 3 1/2-day laboratory settings provided an opportunity for librarians to identify and specify their individual concerns and problems. Then, with the assistance of a notebook of readings and exercises and the structure of the Institute, participants worked toward the resolution of their concerns.

2. Regional Workshops

In an effort to acquaint librarians with OWS programs and their results, several one-day workshops were held in cooperation with libraries participating in self-study programs. In 1978, the following workshops were conducted:

- o Arizona College and University Library Association, January 18
- o CAP Workshop, Massachusetts Institute of Technology, November 7
- o ALDIP Workshop, University of North Carolina-Charlotte, December 1
- o CAP Workshop, Arizona State University, July 17.

3. Special Focus Workshops

In late 1977, OWS announced it would offer two-day Special Focus Workshops at individual libraries, in order to focus on one or two management concepts with up to 40 staff members. The plan proved to be attractive to libraries as demonstrated by the following list of Workshops.

<u>Institution/ Group</u>	<u>Number of Participants</u>	<u>Workshop Topic</u>	<u>Date</u>
ALA/Staff Development Officers	42	Train the Trainer	Jan. 12
Federal Library Committee	35	Supervisory Skills	Feb. 22-24
ARL Membership Meeting	100	Technical Workshops —Budgeting Techniques —Automated Circulation Systems —Remote Storage	May 2
USLA Field Librarians	38	Problem-Solving	Aug. 19-18
Japanese Collection Librarians	22	Japanese Collections in US Research Libraries	Aug. 28-30
Ohio State Univ. Librarian	42	Supervisory Skills	Sept. 3-4
Louisiana Chapter, Special Library Association	25	Zero-Based Budgeting	Sept. 18
University of Arizona Librarian	18	Communication and Decision-Making	Oct. 13-15
Library of Congress	42	Group Dynamics	Dec. 5
National Oceanic and Atmospheric Administration	140	Women in Management	Dec. 13-15

4. Management Training Film Program

During the year, subscribing libraries used films 58 times as part of in-house training programs.

The OWS continued to preview management films and to acquire those that seemed most useful to library training programs. The two films added to the collection are "Rise and Fall of Performance Appraisal" and "The Power of Listening."

The program is available to all academic libraries willing to share in film acquisition costs. A brochure describing the nine films is available from the Office.

D. The Office Program of Applied Research and Development

The office does not maintain a large research capability: Most ongoing efforts are directed toward design of the study procedures comprising The Academic Library Program described earlier. There is, however, a basic interest in the investigation of managerial concerns of research libraries. This interest manifests itself in office support of research conducted by other agencies as well as in various small separately funded projects conducted within the office.

1. Educational Testing Service. Study of Collection Development in Academic Libraries.

This is a study of collection development practices in seven academic libraries. The study was completed at the request of the National Inquiry into Scholarly Communication with the support of the National Endowment for the Humanities. The principal investigators were Hugh Cline and Loraine Sinnott while the OMS director provided advice and assistance. The study was completed during 1978 and will be published in 1979.

2. Cornell University Libraries Collection Management and Development Project.

This is a research project aimed at developing detailed analyses of the Cornell University Libraries' collections and innovative approaches to such issues as allocation, selection, collection assessment, remote storage of materials and collection policies. Jeffrey Gardner of the OMS served on the project's advisory committee.

3. Clarkson College. Design and Analysis of Performance Assessment Measures for Academic Libraries.

This one year study is intended to develop measures for performance assessment and decision making in academic libraries and information services. The study, sponsored by the National Science Foundation, includes surveys of various academic libraries to determine kinds of information presently used in making decisions. Performance measures will be developed in the areas of resource allocation. Principal investigators are Michael Bommer and Ronald Chorba from Clarkson College. The OMS director is acting as advisor to the project. Completion is scheduled for 1979.

4. Educational Testing Service. Study of the Impact of Automation on the Structure and Activities of University Libraries.

This is an 18-month study of the impact of automation on university research libraries. Comparative case studies will be completed at six libraries focusing on the organizational changes accompanying the use of automation in acquisition, circulation and reference activities. The project, funded by a U.S. Office of Education grant, is directed by Hugh Cline. The OMS Director is senior consultant to the project.

5. Cost of Research Library Materials Project

Several discussions with ARL directors were held during 1978 regarding their need for better cost information for research library materials. During 1979, the office will survey ARL libraries on materials cost studies. The intent is to develop a package of cost studies, and make it available to the membership.

6. Development of User Based Collection Assessment

As part of the Collection Analysis Project, the office contracted with Paul Kantor of Case Western Reserve University, to develop a methodology for research libraries to measure access and availability rates of materials. The methodology has been incorporated into CAP and will be tested during 1979.

7. The office developed during 1978, based on the Management Review and Analysis Program Manual, three Resource Notebooks on the topics of Staff Development, Organization, and Planning. One hundred copies of each of the prototype notebooks, which are working tools for libraries wishing to study a particular facet of library operations, were produced.

IV. OMS PRIORITIES FOR 1979

Each year the Office establishes operating priorities with the assistance of its advisory committee, which was enlarged during 1978 to afford wider ARL input into planning and performance assessment. Membership on the committee includes Frank Grisham (Joint University Libraries), Page Ackerman (UCLA Library School), Penny Abell (University of California at San Diego), Louis Martin (Cornell University), Irene Hoadley (Texas A&M University), and William Studer (Ohio State University).

In 1979 the principal priority of the Office relates to the operation of the Academic Library Program. The three fully operational self-study programs (CAF, MRAP, and ALDP) will be made available to interested libraries and it is expected that up to 10 studies will be conducted. The Consultant Training element of the Academic Library Program will be designed, the first class selected, and the training started for 10 to 20 individuals. The Small Library Planning Procedure will be developed and operated at 5 to 10 Indiana Libraries, and design efforts will be initiated in the Services area.

The Systems and Procedures Exchange Center expects to conduct three to four surveys, issue 10 Kits and Flyers, and assist in the development of major OMS publications such as the self-study manuals that are a part of Academic Library Program. The topics scheduled for coverage within the center include: library services, communication methods, special collections, and microforms.

The OMS Training Program will center on the design and operation of the Consultant Training element of the Academic Library Program. In addition, four Management Skills Institutes are scheduled and up to 10 Special Focus workshops will be conducted at interested libraries. The training film program will be maintained.

Among several outstanding proposals which may receive funding during 1979 are three projects that draw upon OMS capabilities in making useful resources available for the management of academic and research libraries: (1) a proposal to design in-house training packages for academic libraries, (2) a proposal to conduct a workshop on the role of women in library management, and (3) a proposal to develop a study procedure to enable research libraries to examine the local preservation problems.

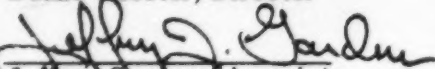
V. CONCLUSION

The past year was, in many respects, a culmination of eight years of Association concern with the management challenges facing research libraries. During this time, over 30 ARL members have directly participated in one of the comprehensive developmental studies sponsored by the office. The information on current management practices generated by the OMS Systems and Procedures Exchange Center has been used by virtually every ARL member for internal problem solving, committee work, and staff development activities. The training programs of the office have enabled over 2,000 library staff to identify and develop needed managerial skills and to contribute more to library operations. And the office effort to apply management study techniques to the examination of substantive concerns of research libraries has proved successful with the design and implementation of the Collection Analysis Procedure.

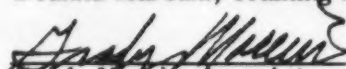
The year of 1978 was also a turning point. Plans for development of the Academic Library Program secured financial commitments which assures ARL members of the continued availability and expansion of OMS resources. The Academic Library Program also includes a commitment to make self-study resources available to non-member libraries.

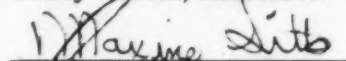
The ability of the OMS to respond to the needs of research libraries as well as to provide access to management resources for non-member libraries will be tested in the next year. The office staff are convinced that the strategy of collaboration among member and non-member libraries will provide richer resources for the entire profession.


Duane Webster, Director


Jeffrey Gardner, Associate


Deanna Marcum, Training Specialist


Grady Merem, Associate


Maxine Sitts, Information Services
Specialist

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APPENDIX - C

ATTENDANCE AT 94TH MEMBERSHIP MEETING
CAMBRIDGE, MASSACHUSETTS
May 10-11, 1979

University of Alabama Libraries James F. Wyatt	Center for Research Libraries Not represented
University of Alberta Library Bruce Peel	University of Chicago Library Stanley McElderry
University of Arizona Library W. David Laird	University of Cincinnati Libraries Not represented
Arizona State University Library Helen Gater	University of Colorado Library Clyde Walton
Boston Public Library Philip J. McNiff	Colorado State University Library Le Moyne W. Anderson
Boston University Library John Laucus	Columbia University Libraries Patricia Battin
Brigham Young University Not represented	University of Connecticut Library John P. McDonald
University of British Columbia Library Basil Stuart-Stubbs	Cornell University Libraries Louis E. Martin
Brown University Library Ann Randall	Dartmouth College Libraries Virginia P. Whitney
University of California, Berkeley Joseph Rosenthal	Duke University Libraries Connie R. Dunlap
University of California Library, Davis Bernard Kreissman	Emory University Library Herbert F. Johnson
University of California Library, Los Angeles Russell Shank	University of Florida Libraries Gustave A. Harrer
University of California Library, San Diego Millicent D. Abell	Florida State University Library Charles E. Miller
University of California Library, Santa Barbara Allen B. Veaner	Georgetown University Library Joseph E. Jeffs
Case Western Reserve University Libraries James V. Jones	University of Georgia Libraries David F. Bishop

Harvard University Library
Douglas W. Bryant

University of Hawaii Library
Don L. Bosseau

University of Houston Libraries
Robert V. Haynes

Howard University Libraries
Binford H. Conley

University of Illinois Library
Hugh Atkinson

Indiana University Libraries
Not represented

University of Iowa Libraries
Leslie W. Dunlap

Iowa State University Library
Not represented

John Crerar Library
William S. Budington

Johns Hopkins University Library
James C. Thompson

Joint University Libraries
Frank P. Grisham

University of Kansas Library
James Ranz

University of Kentucky Libraries
Paul Willis

Kent State University Libraries
Hyman W. Kritzer

Library of Congress
Edmond L. Applebaum

Linda Hall Library
Thomas D. Gillies

Louisiana State University Library
George Guidry, Jr.

McGill University Library
Marianne Scott

McMaster University Library
Graham R. Hill

University of Maryland Library
H. Joanne Harrar

University of Massachusetts Libraries
Siegfried Feller

Massachusetts Inst. of Technology Libs.
Jay K. Lucker

University of Miami Library
Archie L. McNeal

University of Michigan Library
Richard M. Dougherty

Michigan State University Library
Richard E. Chapin

University of Minnesota Libraries
Eldred Smith

University of Missouri Library
John Gribbin

National Agricultural Library
Not represented

National Library of Canada
Joseph G. Sylvestre

National Library of Medicine
James Barry

University of Nebraska Libraries
Dean A. Waddel

New York Public Library
David H. Stam

New York State Library
Not represented

New York University Libraries
Carlton C. Rochell

University of North Carolina Libraries
James F. Govan

Northwestern University Libraries
John P. McGowan

University of Notre Dame Libraries
Robert C. Miller

Ohio State University Libraries
William J. Studer

University of Oklahoma Library
Not represented

Oklahoma State University Library
Roscoe Rouse

University of Oregon Library
H. William Axford

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Murray Martin

University of Pittsburgh Libraries
Glenora E. Rossell

Princeton University Library
Donald Koepp

Purdue University Library
Joseph M. Dagnese

Queen's University Library
Margot B. McBurney

Rice University Library
Samuel Carrington

University of Rochester Libraries
Alan R. Taylor

Rutgers University Library
Hendrik Edelman

Smithsonian Institution Libraries
Jean C. Smith

University of South Carolina
Kenneth E. Toombs

University of Southern Calif. Lib.
Roy L. Kidman

Southern Illinois University Library
Kenneth G. Peterson

Stanford University Libraries
David C. Weber

State University of New York at Albany
C. James Schmidt

State University of New York at Buffalo
Saktidas Roy

State University of New York at Stony Brook
John B. Smith

Syracuse University Libraries
Donald C. Anthony

Temple University Library
Not represented

University of Tennessee Libraries
Donald R. Hunt

University of Texas Libraries
Harold W. Billings

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
David G. Esplin

Tulane University Library
William Newman

University of Utah Libraries
Roger K. Hanson

Virginia Polytechnic Inst. & State Univ.
H. Gordon Bechanan

University of Virginia Libraries
Kendon Stubbs

University of Washington Library
Merle N. Boylan

Washington State University Library
Allene F. Schnaitter

Washington University Libraries
Not represented

Wayne State University Libraries
Vern M. Pings

University of Western Ontario Library
Robert Lee

University of Wisconsin Libraries
Not represented

Yale University Libraries
Rutherford D. Rogers

ATTENDANCE BY THE MEMBERSHIP - NAME INDEX

Abell, Millicent D.	University of California Library, San Diego
Anderson, Le Moyne W.	Colorado State University Library
Anthony, Donald C.	Syracuse University Libraries
Applebaum, Edmond L.	Library of Congress
Atkinson, Hugh	University of Illinois Library
Axford, H. William	University of Oregon Library
Barry, James	National Library of Medicine
Battin, Patricia	Columbia University Libraries
Bechanan, H. Gordon	Virginia Polytechnic Inst. & State University
Billings, Harold W.	University of Texas Libraries
Bishop, David F.	University of Georgia Libraries
Bosseau, Don L.	University of Hawaii Library
Boylan, Merle N.	University of Washington Library
Bryant, Douglas W.	Harvard University Library
Budington, William S.	John Crerar Library
Carrington, Samuel	Rice University Library
Chapin, Richard	Michigan State University Library
Conley, Binford H.	Howard University Libraries
Dagnese, Joseph M.	Purdue University Library
De Gennaro, Richard	University of Pennsylvania Libraries
Dougherty, Richard M.	University of Michigan Library
Dunlap, Connie R.	Duke University Libraries
Dunlap, Leslie W.	University of Iowa Libraries
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Feller, Siegfried	University of Massachusetts Libraries
Gater, Helen L.	Arizona State University Library
Gillies, Thomas D.	Linda Hall Library
Govan, James F.	University of North Carolina Libraries
Gribbin, John H.	University of Missouri Library
Grisham, Frank P.	Joint University Library
Guidry, George	Louisiana State University Library
Hanson, Roger K.	University of Utah Libraries
Harrar, H. Joanne	University of Maryland Library
Harrer, Gustave A.	University of Florida Libraries
Haynes, Robert V.	University of Houston Libraries
Hill, Graham R.	McMaster University Library
Hoadley, Irene	Texas A&M University Library
Hunt, Donald R.	University of Tennessee Libraries

Jeffs, Joseph E.
Jones, James V.
Johnson, Herbert F.

Kidman, Roy L.
Koepp, Donald
Kreisman, Bernard
Kritzer, Hyman W.

Laird, David W.
Laucus, John
Lee, Robert
Luckner, Jay K.

McBurney, Margot B.
McDonald, John P.
McElderry, Stanley
McGowan, John P.
McNeal, Archie L.
McNiff, Philip J.
Martin, Louis E.
Martin, Murray
Miller, Charles E.
Miller, Robert C.

Newman, William

Peel, Bruce
Peterson, Kenneth G.
Pings, Vern M.

Randall, Ann
Ranz, James
Rochell, Carlton C.
Rosenthal, Joseph
Rossell, Glenora E.
Rouse, Roscoe
Roy, Saktidas
Rogers, Rutherford D.

Schmidt, C. James
Schmaitter, Allene F.
Scott, Marianne
Shank, Russell
Smith, Eldred
Smith, Jean
Smith, John B.
Stam, David H. & Couper, R.
Stuart-Stubbs, Basil
Stubbs, Kendon
Studer, William J.
Sylvestre, Joseph G.

Georgetown University Library
Case Western Reserve University Libraries
Emory University Library

University of Southern California Library
Princeton University Library
University of California Library, Davis
Kent State University Libraries

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Boston University Library
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University of Pittsburgh Libraries
Oklahoma State University Library
State University of New York Library at Buffalo
Yale University Library

State University of New York at Albany
Washington State University Library
McGill University Library
University of California Library, Los Angeles
University of Minnesota Libraries
Smithsonian Institution Libraries
State University of New York at Stony Brook
New York Public Library
University of British Columbia Library
University of Virginia Libraries
Ohio State University Libraries
National Library of Canada

Taylor, Alan R.
Thompson, James C.
Toombs, Kenneth E.

University of Rochester Libraries
Johns Hopkins University Library
University of South Carolina Library

Vesner, Allen B.

University of California Library, Santa Barbara

Walton, Clyde
Waddel, Dean A.
Weber, David C.
Whitney, Virginia F.
Willis, Paul
Wyatt, James F.

University of Colorado Library
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Dartmouth College Libraries
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Guest

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Mervyn McCurion
Keyes Metcalf
Peter Paulson
Jaroslav Pelikan

Library of Congress (speaker)
National Comm. on Libr. and Info. Sciences
University of Toronto Libraries (speaker)
Indiana University Libraries (speaker)
CLR Intern - Duke University Libraries
National Endowment for the Humanities
CLR Intern - Stanford University Libraries
University of Toronto Libraries
University of Pittsburgh Library School
Council on Library Resources
CLR Intern - University of Connecticut
Library of Congress
Council on Library Resources (speaker)
OCLC, Inc. (speaker)
Yale University Libraries
American Antiquarian Society

New York State Library
Yale University (speaker)

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Carol A. Mandel, Associate Executive Director
James L. Beattie, ARL Research Specialist
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Jeffrey J. Gardner, Associate, Office of Management Studies
P. Gredy Moroin, Associate, Office of Management Studies
Deanna Marcus, Training Program Specialist, Office of Management Studies
Maxine Sitta, Information Services Specialist, Office of Management Studies

APPENDIX - D

ASSOCIATION OF RESEARCH LIBRARIES
OFFICERS, BOARD OF DIRECTORS, COMMITTEES AND TASK FORCES

May 1979

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ARL Executive Committee

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Task Force on ARL Statistics (1979)

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Kendon Stubbs, University of Virginia
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Task Force on National Library Network Development (1980)

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Page Ackerman, UCLA Graduate School of Library and Information Science
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Louis Martin
William J. Studer

APPENDIX - E

MEMBERSHIP LIST
May 1979

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P.O. Box S
University, Alabama 35486
James F. Wyatt, Dean of Libraries
(205) 348-5298

University of Alberta Library
Edmonton, Alberta, Canada
Bruce Peel, Director
(403) 432-3790

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 626-2101

Arizona State University Library
Tempe, Arizona 85281
Helen Gater, Acting Librarian
(602) 965-3415

Boston Public Library
Boston, Massachusetts 02117
Philip J. McNiff, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University
324 Lee Library
Provo, Utah 84602
Donald K. Nelson, Director
(801) 374-1211 Ext. 2905

University of British Columbia Library
Vancouver, B.C., Canada V6T 1W5
Basil Stuart-Stubbs, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
Prof. Stuart C. Sherman, Act. Librn.
(401) 863-2162

University of California Library
Berkeley, California 94720
Joseph Rosenthal, Acting Director
(415) 642-3773

University of California Library
Davis California 95616
Bernard Kreissman, Librarian
(916) 752-2110

University of California Library
Los Angeles, California 90024
Russell Shank, Librarian
(213) 825-1201

University of California, San Diego
The University Library
La Jolla, California 92037
Millicent D. Abell, Librarian
(714) 452-3061

University of California, Santa Barbara
Santa Barbara, California 93106
Allen B. Veaner, Librarian
(805) 961-3256

Case Western Reserve University Libraries
Cleveland, Ohio 44106
James V. Jones, Director
(216) 368-2990

Center for Research Libraries
5721 Cottage Grove Avenue
Chicago, Illinois 60637
Gordon R. Williams, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Stanley McElderry, Director
(312) 753-2933

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Harold Schell, Dean, Library Admin. &
Director of Libraries (513) 475-2218

University of Colorado Library
Boulder, Colorado 80309
Clyde Walton, Director
(303) 492-6144

Colorado State University Library
Fort Collins, Colorado 80521
Le Moyne W. Anderson, Director
(303) 491-5911

Columbia University Libraries
New York, New York 10027
Patricia Battin, Vice Pres.
& Univ. Libn.
(212) 280-2247

University of Connecticut Library
Storrs, Connecticut 06268
John P. McDonald, Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
Louis E. Martin, Director
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Virginia P. Whitney, Act. Librarian
(603) 646-2235

Duke University Libraries
Durham, North Carolina 27706
Connie R. Dunlap, Librarian
(919) 684-2034

Emory University Library
Atlanta, Georgia 30322
Herbert F. Johnson, Director
(404) 329-6861

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
Charles E. Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D.C. 20007
Joseph E. Jeffs, Director
(202) 625-4095

University of Georgia Libraries
Athens, Georgia 30601
Ralph E. McCoy, Interim Director
(404) 542-2716

Harvard University Library
Cambridge, Massachusetts 02138
Douglas W. Bryant, Director
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University of Hawaii Library
2550 The Mall
Honolulu, Hawaii 96822
Don L. Bosseau, Director
(808) 948-7275

University of Houston Libraries
Houston, Texas 77004
Robert V. Haynes, Interim Dir. of Libs.
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Urbana, Illinois 61801
Hugh C. Atkinson, Director
(217) 333-0790

Indiana University Libraries
Bloomington, Indiana 47401
W. Carl Jackson, Dean of Libraries
(812) 337-3404

University of Iowa Libraries
Iowa City, Iowa 52240
Leslie W. Dunlap, Dean of Lib. Admin.
(319) 353-4450

Iowa State University Library
Ames, Iowa 50011
Warren B. Kuhn, Dean of Library Services
(515) 294-1442

John Crerar Library
Chicago, Illinois 60616
William S. Budington, Director
(312) 225-2526

Johns Hopkins University Library
The Milton S. Eisenhower Library
Baltimore, Maryland 21218
Richard Polacsek, Acting Librarian
(301) 338-8325

Joint University Libraries
Nashville, Tennessee 37203
Frank P. Grisham, Director
(615) 322-2834

University of Kansas Library
Lawrence, Kansas 66044
James Ranz, Dean of Libraries
(913) 864-3601

University of Kentucky Libraries
Lexington, Kentucky 40506
Paul Willis, Director
(606) 257-3801

Kent State University Libraries
Kent, Ohio 44242
Hyman W. Kritzer, Assistant Provost &
Director of Libraries (216) 872-2962

Library of Congress
Washington, D.C. 20540
Daniel J. Boorstin, Librarian
(202) 426-5205

Linda Hall Library
Kansas City, Missouri 64110
Thomas D. Gillies, Director
(816) 363-4600

Louisiana State University Library
Baton Rouge, Louisiana 70803
George Guidry, Jr., Director
(504) 388-3969

McGill University Library
Montreal, P.Q., Canada H3C 3G1
Marianne Scott, Director
(514) 392-4949

McMaster University
1280 Main Street West
Hamilton, Ontario, Canada L8S 4L6
William Ready, University Librarian
(416) 525-9140 Local 4359

University of Maryland Library
College Park, Maryland 20742
H. Joanne Harrar, Librarian
(301) 454-3011

University of Massachusetts Libraries
Amherst, Massachusetts 01002
Richard J. Talbot, Director
(413) 545-0284

Massachusetts Inst. of Technology Libs.
Cambridge, Massachusetts 02139
Jay K. Lucker, Director
(617) 253-5651

University of Miami Library
P.O. Box 248214
Coral Gables, Florida 33124
Archie L. McNeal, Director
(305) 284-3551

University of Michigan Library
Ann Arbor, Michigan 48109
Richard M. Dougherty, Director
(313) 764-9356

Michigan State University Library
East Lansing, Michigan 48823
Richard E. Chapin, Librarian
(517) 355-2341

University of Minnesota Libraries
Minneapolis, Minnesota 55455
Eldred Smith, Director
(612) 373-3097

University of Missouri Library
Columbia, Missouri 65201
John Gribbin, Director
(314) 882-4701

National Agricultural Library
Beltsville, Maryland 20705
Richard A. Farley, Director
(301) 344-4248

National Library of Canada

395 Wellington Street
Ottawa, Ont., Canada K1A 0N4
Joseph Guy Sylvestre, Librarian
(613) 966-1623

National Library of Medicine

Bethesda, Maryland 20014
Martin M. Cummings, Director
(301) 496-6221

University of Nebraska Libraries

Lincoln, Nebraska 68508
Gerald A. Rudolph, Dean of Libraries
(402) 472-7211

New York Public Library

New York, New York 10018
Richard W. Couper, President
(212) 695-3231

New York State Library

Cultural Education Center
Empire State Plaza
Albany, New York 12234
Joseph F. Shubert, State Librarian
(518) 474-5930

New York University Libraries

New York, New York 10003
Carlton C. Rochell, Dean of Libraries
(212) 598-2481

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Chapel Hill, North Carolina 27515
James F. Govan, Director
(919) 933-1301

Northwestern University Libraries

Evanston, Illinois 60210
John P. McGowan, Librarian
(312) 492-7640

University of Notre Dame Libraries

Notre Dame, Indiana 46556
Robert C. Miller, Librarian
(219) 283-7317

Ohio State University Libraries

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William J. Studer, Director
(614) 422-4241

University of Oklahoma Library

Norman, Oklahoma 73069
Sul H. Lee, Director
(405) 325-2611 or 2614

Oklahoma State University Library

Stillwater, Oklahoma 74074
Roscoe Rouse, Librarian
(405) 624-6321

University of Oregon Library

Eugene, Oregon 97403
H. William Axford, University Libn.
(503) 686-3056

University of Pennsylvania Libraries

Philadelphia, Pennsylvania 19104
Richard De Gennaro, Director
(215) 243-7091

Pennsylvania State University Library

University Park, Pennsylvania 16802
Stuart Forth, Dean of Univ. Libraries
(814) 865-0401

University of Pittsburgh Libraries

Pittsburgh, Pennsylvania 15260
Glenora Edwards Rossell, Director
(412) 624-4401

Princeton University Library

Princeton, New Jersey 08540
Donald Koepp, Univ. Librn.
(609) 452-3170

Purdue University Library

Lafayette, Indiana 47907
Joseph M. Dagnese, Director
(317) 749-2571

Queen's University

Douglas Library
Kingston, Canada K7L 5C4
Margot B. McBurney, Chief Libn.
(613) 547-5950

Rice University Library

6100 S. Main, Box 1892
Houston, Texas 77001
Samuel Carrington, Interim Director
(713) 527-4022

University of Rochester Libraries
Rochester, New York 14627
Alan R. Taylor, Director
(716) 275-4463

Rutgers University Library
New Brunswick, New Jersey 08901
Hendrik Edelman, Univ. Libn.
(201) 932-7505

Smithsonian Institution Libraries
Constitution Avenue at 10th St., N.W.
Washington, D.C. 20560
Jean C. Smith, Acting Director
(202) 381-5496

University of South Carolina
Columbia, South Carolina 29208
Kenneth E. Toombs, Director of Libs.
(803) 777-3142

University of Southern California Library
Los Angeles, California 90007
Roy L. Kidman, Librarian
(213) 741-2543

Southern Illinois University Library
Carbondale, Illinois 62901
Kenneth G. Peterson, Dean of
Library Affairs
(618) 453-2522

Stanford University Libraries
Stanford, California 94305
David C. Weber, Director
(415) 497-2016

State University of New York at Albany
Libraries
1400 Washington Avenue
Albany, New York 12222
C. James Schmidt, Director
(518) 457-8540

State University of New York at Buffalo
Libraries
Buffalo, New York 14214
Saktidas Roy, Director
(716) 831-4218

State University of New York at Stony Brook
Libraries
Stony Brook, New York 11790
John B. Smith, Director & Dean of Lib.
(516) 246-5650

Syracuse University Libraries
Syracuse, New York 13210
Donald C. Anthony, Director
(315) 423-2574

Temple University Library
Philadelphia, Pennsylvania 19122
Jack Gotlobe, Acting Director
(215) 787-8231

University of Tennessee Libraries
Knoxville, Tennessee 37916
Donald R. Hunt, Director
(615) 974-4127

University of Texas Libraries
Austin, Texas 78712
Harold W. Billings, Director
(512) 471-3811

Texas A&M University Library
College Station, Texas 77843
Irene B. Hoadley, Director
(713) 845-6111

University of Toronto Libraries
Toronto, Ont., Canada M5S 1A5
Robert Blackburn, Director
(416) 978-2292

Tulane University Library
New Orleans, Louisiana 70118
William Newman, Director
(504) 865-5131

University of Utah Libraries
Salt Lake City, Utah 84112
Roger Hanson, Director
(801) 581-8558

Virginia Polytechnic Inst. and State Univ.
Blacksburg, Virginia 24061
H. Gordon Bechanan, Director of Libs.
(703) 951-5593

University of Virginia Libraries
Charlottesville, Virginia 22903
Ray W. Frantz, Jr., Librarian
(804) 924-3026 or 924-7849

University of Washington Library
Seattle, Washington 98105
Merle N. Boylan, Director
(206) 543-1760

Washington State University Library
Pullman, Washington 99163
Dr. Allene F. Schnaitter, Director
(509) 335-4557

Washington University Libraries
St. Louis, Missouri 63130
Charles Churchwell, Librarian
(314) 889-5000

Wayne State University Libraries
Detroit, Michigan 48202
Vern M. Pings, Director
(313) 577-4020

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Robert Lee, Director of Libraries
(519) 879-3165

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Madison Wisconsin 53706
Joseph H. Treys, Jr., Director
(608) 262-3521

Yale University Libraries
New Haven, Connecticut 06520
Rutherford D. Rogers, Librarian
(203) 436-2456

ASSOCIATION OF RESEARCH LIBRARIES

REPORT ON FINANCIAL STATEMENTS
(with supplemental material)

TWO YEARS ENDED DECEMBER 31, 1978

Seldman & Seldman

CERTIFIED PUBLIC ACCOUNTANTS

Seidman & Seidman

CERTIFIED PUBLIC ACCOUNTANTS

1700 - 18th Street, N. W., Washington, D. C. 20036 • (202) 793-1570

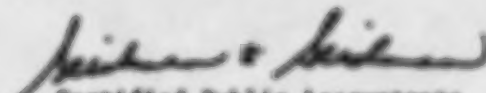
January 26, 1979

Board of Directors
Association of Research Libraries
Washington, D. C.

We have examined the statement of assets and liabilities arising from cash transactions of the Association of Research Libraries as of December 31, 1978 and 1977, and the related statements of revenue and expenses and changes in fund balances for the years then ended. Our examinations were made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances. We did not examine the financial statements of the Foreign Newspaper Microfilm Project which reflect total assets and revenues of \$1 and 121 respectively for 1978 and 111 and 201 for 1977. These statements were examined by other auditors whose reports have been furnished to us. Our opinion, insofar as it relates to the amounts included for this project, is based solely upon the reports of the other auditors.

As described in Note 1, the Association's policy is to prepare its financial statements on a modified basis of cash receipts and disbursements; consequently certain revenue and the related assets are recognized when received rather than when earned, and certain expenses are recognized when paid rather than when the obligation is incurred. Accordingly, the accompanying financial statements are not intended to present financial position and results of operations in conformity with generally accepted accounting principles.

In our opinion, based upon our examination and the reports of the other auditors, the financial statements present fairly the assets and liabilities arising from cash transactions of the Association of Research Libraries at December 31, 1978 and 1977, and the revenue collected and expenses paid and changes in fund balances during the years then ended, on the basis of accounting described in Note 1, applied on a consistent basis, after restatement for the change, with which we concur, in the method of accounting for furniture and equipment as described in Note 6 to the financial statements.


Certified Public Accountants

ASSOCIATION OF AMERICAN LIBRARIANS
STATEMENT OF ASSETS AND LIABILITIES

ASSETS	December 31	
	1974	1977 (restated)
Cash in bank and on hand	\$ 9 043	\$ 234
Cash in savings accounts	3 004	3 836
Cash held by others - agency fund	74 021	43 811
Savings certificates	796 483	224 480
Deposits	1 139	1 281
Furniture and equipment, at cost less accumulated depreciation (Note 1)	<u>22 933</u>	<u>11 796</u>
	<u>807 520</u>	<u>284 708</u>
<u>LIABILITIES</u>		
Payroll taxes withheld	\$ 9 043	\$ 3 311
Special programs for which the Association is accountable to the grantors	<u>204 431</u>	<u>11 170</u>
Total liabilities	<u>213 474</u>	<u>14 481</u>
<u>FUND BALANCES</u>		
General Operating Fund	538 593	143 228
Foreign Newspaper Microfilm Project Agency Fund	74 021	43 811
Chinese Center Revolving Fund	<u>834 906</u>	<u>284 432</u>
Total fund balances	<u>1,447 520</u>	<u>471 471</u>
	<u>1,447 520</u>	<u>756 179</u>

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND STATEMENT OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCE

	Year ended December 31,	
	<u>1978</u>	<u>1977</u> (restated)
REVENUE:		
Dues	\$208 000	\$212 000
Interest	15 503	16 672
Publications	6 725	7 555
Royalties	120	205
Miscellaneous	-	-
	<u>230 348</u>	<u>236 432</u>
EXPENSES:	294 901	271 547
Less administrative expenses charged to special programs	<u>31 507</u>	<u>32 694</u>
Net expenses	<u>263 394</u>	<u>238 853</u>
EXCESS OF EXPENSES OVER REVENUE	(33 046)	<u>(2 421)</u>
FUND BALANCE, at beginning of year, as previously reported	142 329	140 016
ADJUSTMENT to reflect change in method of accounting for furniture and equipment (Note 6)		<u>4 734</u>
FUND BALANCE, at beginning of year, as restated		<u>144 750</u>
FUND BALANCE, at end of year	<u>\$109 283</u>	<u>\$142 329</u>

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

FOREIGN NEWSPAPER MICROFILM PROJECT AGENCY FUND STATEMENT OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCE

	Year ended December 31,	
	<u>1978</u>	<u>1977</u>
REVENUE:		
Dues	\$ 84 566	\$ 82 033
Sales to members and non-members	52 688	77 877
Interest	<u>2 888</u>	<u>3 378</u>
	<u>140 142</u>	<u>163 288</u>
EXPENSES:		
Newspapers and microfilm	45 059	64 275
Purchases for members and non-members	41 333	41 553
Salaries	34 180	37 215
Payroll taxes	2 720	2 894
Storage	1 760	1 760
Royalties	1 743	852
Supplies	1 455	1 579
Insurance	1 345	1 758
Miscellaneous	337	64
Professional fees	<u>-</u>	<u>850</u>
	<u>129 932</u>	<u>152 800</u>
EXCESS OF REVENUE OVER EXPENSES	10 210	10 488
FUND BALANCE, at beginning of year	<u>63 811</u>	<u>53 323</u>
FUND BALANCE, at end of year	<u>\$ 74 021</u>	<u>\$ 63 811</u>

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

CHINESE CENTER REVOLVING FUND
STATEMENT OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCE

	Year ended December 31,	
	<u>1978</u>	<u>1977</u>
REVENUE:		
Sale of publications	\$121 218	\$113 624
Interest income	<u>28 987</u>	<u>26 452</u>
	<u>150 205</u>	<u>140 076</u>
EXPENSES:		
Cost of publications	73 138	82 843
Postage and other expenses	4 204	18 924
Transfer to Center for Chinese Research Materials program	<u>2 639</u>	<u>-</u>
	<u>79 981</u>	<u>101 767</u>
EXCESS OF REVENUE OVER EXPENSES	70 224	38 309
FUND BALANCE, at beginning of year	<u>384 432</u>	<u>346 123</u>
FUND BALANCE, at end of year	<u>\$454 656</u>	<u>\$384 432</u>

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

NOTES TO FINANCIAL STATEMENTS

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting

The accounts of the Association are maintained on a modified-cash basis of accounting. Under this method, effect is given only to cash collections and payments except that furniture and equipment is capitalized and depreciated over its estimated useful life. Accordingly, the financial statements do not show accrued income, costs and expenses, and the receivables and payables that would result from such accruals.

Furniture, equipment and depreciation

Furniture and equipment are stated at cost. Expenditures for additions, renewals and betterments are capitalized. Upon retirement or disposal of assets, the cost and accumulated depreciation or amortization are eliminated from the accounts and the resulting gain or loss is included in income. Depreciation is computed on the straight-line method over an estimated useful life of ten years.

NOTE 2 - INCOME TAXES

The Association is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code and a provision for income taxes is not required.

NOTE 3 - LEASE

The Association leases its office facilities under an operating lease expiring June 30, 1979, requiring minimum annual rental of \$35,807.

Total rent and storage charges were \$28,292 for 1978 and \$23,333 for 1977.

NOTE 4 - RETIREMENT PLANS

The Association has a retirement plan that covers substantially all full-time employees. Contributions to the plan are based on a percentage of salary for enrolled staff members. Total amounts paid in by the Association were \$42,241 and \$40,241 for 1978 and 1977, respectively.

NOTE 5 - FURNITURE AND EQUIPMENT

Furniture and equipment consists of the following:

	<u>1978</u>	<u>1977</u>
Furniture and equipment	\$ 51 779	\$ 35 455
Less accumulated depreciation	<u>28 924</u>	<u>24 061</u>
	<u>\$ 22 855</u>	<u>\$ 11 394</u>

ASSOCIATION OF RESEARCH LIBRARIES

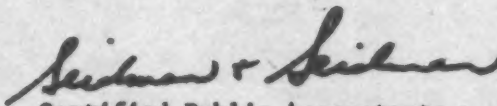
NOTES TO FINANCIAL STATEMENTS
(continued)

NOTE 6 - RESTATEMENT OF BEGINNING FUND BALANCES

Prior to 1978, the Association charged acquisitions of furniture and equipment to operations in the year of purchase. This practice was not in conformity with generally accepted accounting principles. As of January 1, 1978, the Association adopted the policy of capitalizing furniture and equipment and reflecting the cost thereof in operations over the useful lives through periodic charges for depreciation; accordingly, the fund balances as of January 1, 1977, and the financial statements for 1977, which are presented for comparative purposes, have been restated to give effect to the change in method of accounting for furniture and equipment.

SUPPLEMENTAL MATERIAL

Our examinations of the financial statements included in the preceding section of this report were directed to an expression of our opinion on those statements taken as a whole. The supplemental material presented in the following section of this report has been subjected to certain audit procedures applied in connection with our examinations of the financial statements. This information, while not considered necessary for the fair presentation of the statements of assets and liabilities and revenue and expenses of the Association, is, in our opinion, fairly stated in all material respects when considered in relation to the financial statements taken as a whole.


Certified Public Accountants

Washington, D. C.
January 26, 1979

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND SCHEDULE OF EXPENSES

	Year ended December 31,	
	1978	1977
		(restated)
Board and committee expenses	\$ 10 926	\$ 8 556
Computer services	95	1 800
Conference expense	15 759	14 523
Dues	2 933	2 077
Depreciation	2 933	1 495
Employment fees	-	900
Honorarium	896	1 100
Hospitalization	1 839	1 565
Insurance and bonding	2 325	1 795
Miscellaneous	1 659	1 658
Payroll taxes	6 033	5 420
Periodicals and subscriptions	1 512	1 788
Printing	14 627	15 879
Professional fees	4 410	9 763
Postage and freight	3 963	3 214
Rent	9 955	8 192
Retirement plan	17 470	15 720
Salaries	135 037	119 904
Staff travel and expenses	11 629	12 992
Stationery and office expenses	7 419	7 051
Telephone	3 481	3 655
Funding for special programs - University Library Management Study Office and ALP	40 000	32 500
	<u>\$294 901</u>	<u>\$271 547</u>

ASSOCIATION OF RESEARCH LIBRARIES

SPECIAL PROGRAMS

SCHEDULE OF REVENUE AND EXPENSES AND CHANGES IN PROGRAM BALANCES

	Center for Chinese Research Material	University Library Management Study Office	Academic Library Program
REVENUE:			
Grants	\$184 000	\$ 49 000	\$250 000
Sale of publications		52 461	9 630
ARL support - transferred from General Operating Fund		30 000	10 000
Workshops and training programs		8 367	3 493
Management Institutes		3 347	5 330
Interest income			7 315
Reimbursement for travel			
Film services (net)		1 593	
	<u>184 000</u>	<u>144 768</u>	<u>285 768</u>
EXPENSES:			
Allocated administrative fees		3 750	
Consulting fees			178
Convention expenses			
Depreciation	1 094	2	791
Employee benefits	20 776	9 298	5 044
Grants			
Miscellaneous			4 044
Office expenses	6 190	5 907	2 338
Payroll taxes	5 750	6 220	1 248
Periodicals and subscriptions	956	1 095	288
Postage	257	3 926	1 242
Printing	2 402		4 353
Professional services	2 050	20 117	
Rent and storage	10 417	4 986	2 298
Salaries	122 071	69 745	35 660
Telephone	1 507	4 670	722
Training (net)		374	
Travel	9 273	6 751	3 824
	<u>182 743</u>	<u>136 841</u>	<u>62 030</u>
EXCESS OF REVENUE OVER (UNDER) EXPENSES	1 257	7 927	223 738
PROGRAM BALANCE, beginning, as previously reported	3 208	(4 689)	
Adjustment to reflect change in method of accounting for furniture and equipment			
PROGRAM BALANCE, beginning, as restated			
Transfers			490
PROGRAM BALANCE, ending	158 <u>8 4465</u>	<u>8 3238</u>	<u>\$224 228</u>

United States - Japan Friendship Commission Grant	Fund for Release Time	Standard Committee Meeting (CLR)	Colonial American Libraries	Collection Analysis Program	Total	Year ended December 31, 1977 Total (restated)
\$19 175		\$ 3 712			\$585 496 62 091	\$ 258 300 35 907
					40 000	32 500
					12 649	4 292
					8 677	5 020
72					7 734	2 881
	3 915				3 931	
					1 593	1 828
<u>19 247</u>	<u>3 915</u>	<u>3 712</u>	<u>-</u>	<u>-</u>	<u>722 171</u>	<u>340 728</u>
					3 750	5 000
					2 678	470
					100	860
1 463					1 931	1 975
					43 133	32 939
						60 000
			71		10 755	1 954
		300			14 903	12 160
					13 218	11 252
					2 339	2 031
8					5 433	7 718
442				125	7 384	43 452
					22 167	3 718
					18 337	15 140
5 600					265 675	216 557
					6 899	5 857
13 247					13 621	-
	<u>4 343</u>	<u>1 045</u>	<u>249</u>	<u>3 139</u>	<u>34 592</u>	<u>26 783</u>
<u>20 760</u>	<u>4 343</u>	<u>1 345</u>	<u>320</u>	<u>3 264</u>	<u>466 915</u>	<u>447 866</u>
(1 513)	(428)	2 367	(320)	(3 264)	255 256	(107 138)
	918	(2 331)	248	3 264	11 159	109 072
						8 307
						117 379
					36	918
<u>2(1 513)</u>	<u>1 -0-</u>	<u>1 -0-</u>	<u>1 -0-</u>	<u>1 -0-</u>	<u>2266 451</u>	<u>2 11 139</u>

<u>Collection Analysis Program Transition</u>	<u>Resource Notebook (Wilson)</u>	<u>SPEC (Wilson Foundation)</u>	<u>Index Grant W.H. Wilson</u>	<u>Brasenose II Conference</u>	<u>Lilly Project</u>
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\$44 000	\$16 064	\$19 343			
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<u>44 789</u>	<u>16 064</u>	<u>19 801</u>	<u>-</u>	<u>91</u>	<u>16</u>
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<u>5 540</u>	<u> </u>	<u>191</u>	<u> </u>	<u> </u>	<u>237</u>
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<u>39 658</u>	<u>7 155</u>	<u>1 442</u>	<u>6 677</u>	<u> </u>	<u>337</u>
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				1 681	
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-157-

<u>\$ 5 131</u>	<u>\$ 8 909</u>	<u>218 359</u>	<u>\$ 2 183</u>	<u>\$1 772</u>	<u>\$(321)</u>
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ASSOCIATION OF RESEARCH LIBRARIES

PROOF OF CASH
YEAR ENDED DECEMBER 31, 1978

CASH BALANCE, beginning	\$592 848
ADD: Excess of revenue over (under) expenses:	
Special programs for which the Association is accountable to the grantors	255 292
General Operating Fund	(33 046)
Foreign Newspaper Microfilm Project Agency Fund	10 210
Chinese Center Revolving Fund	70 224
Payroll taxes fourth quarter 1978 paid January 1979	3 043
Depreciation (non-cash charge)	<u>4 864</u>
	<u>903 437</u>
LESS: Payroll taxes fourth quarter 1977 paid January 1978	2 511
Additions to furniture and equipment	<u>16 325</u>
	<u>18 836</u>
CASH BALANCE, ending	<u>884 601</u>